Lesson 3:

The Construction Phase

Objectives

In this lesson you will learn to:

- Create and View Construction Information documents.
- Create and Respond to Requests for Information.
- Create, View and Respond to Requests for Proposal.
- Create and View Architect's Supplemental Instructions.
- Create and View Emergency Work Authorizations.
- Create and Approve the Contractor's Schedule of Values.
- Create, Submit, and Approve Schedules of Work Completed and Employee Utilization Reports.
- Create, Review, and Respond to Punch List Items.
- Submit and Review Contractor Submittal Requirements.

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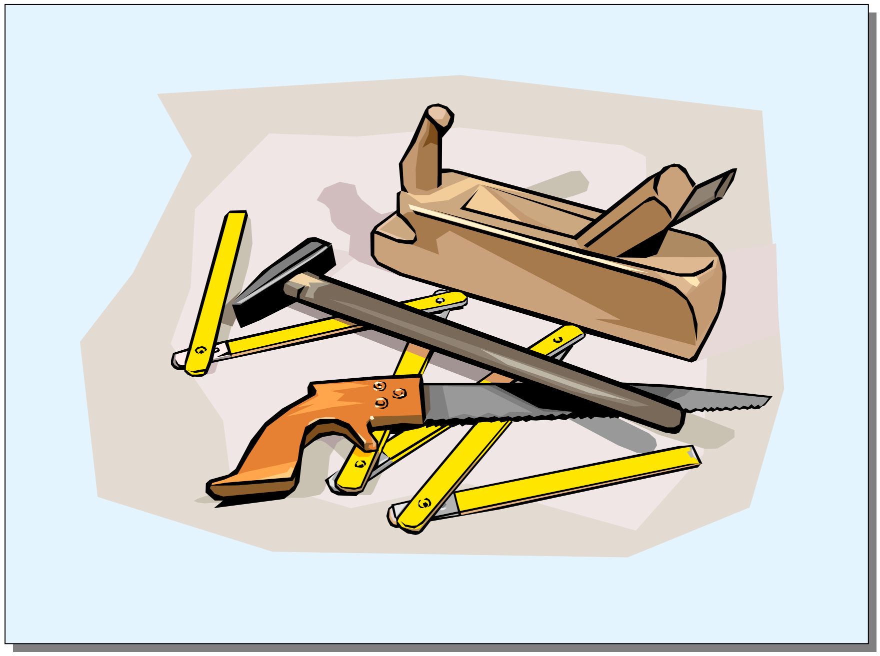
Construction Phase Overview



During this phase, the project team expands to include construction contractors along with the University units and design professionals from the previous phase. These three groups come together to deliver a project which meets the requirements of the contract documents and the bounds of the construction budget and schedule. Occasionally, the University hires a Construction Manager for this phase. Construction Managers attend to the formal bid packages and manage the project's activities throughout the Construction phase. If a Construction Manager is used on a project, a campus project manager oversees the University's interests during Construction and works with the Construction Manager to ensure that work is completed to the University's satisfaction.

Construction is documented by recording items in one of two main sections. First, the Information and Changes section records encountered problems/questions and the solutions provided. Second, the Payments/Closeout section records the contractor's periodic pay application as well as the supporting data. In addition, project closeout is documented by including punch lists and substantial completion.

The key deliverables of this phase are:

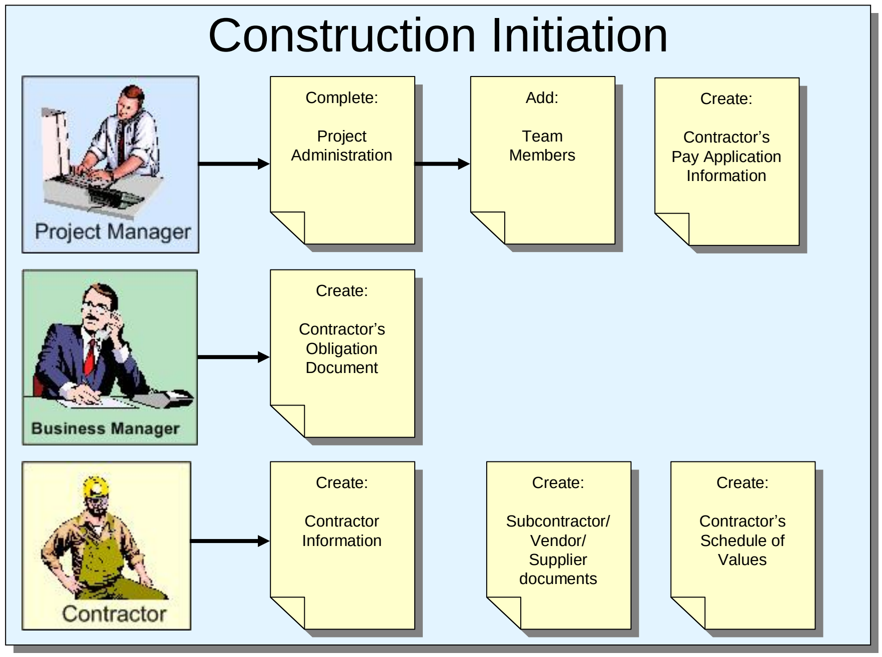
- Contractor's Information document
- Subcontractor / Vendor / Supplier documents
- Contractor's Schedule of Values (CSV)
- Schedule of Work Completed (SWC)
- Requests for Information (RFI)
- Requests for Proposal (RFP)

- Change Orders (CO)
- Emergency Work Authorization (EWA)
- Architect's Supplemental Instructions (ASI)
- Submittal Requirements
- Payment Applications
- Affidavit and partial lien waiver
- Reduction in Retainage
- Updated project budget
- Updated project schedule
- Certificate of substantial completion

Throughout this lesson, the following icons appearing next to a task procedure indicate which role performs that task:

Role	*Icon*
Project Manager	
Architect	
Contractor	
Campus Business Manager	

Construction Phase Workflow



As the Construction phase opens, the Project Manager once again performs three initiating tasks:

- Creates the Project Administration document
- Adds Team Members to the phase
- Creates each Contractor's Pay Application Information document

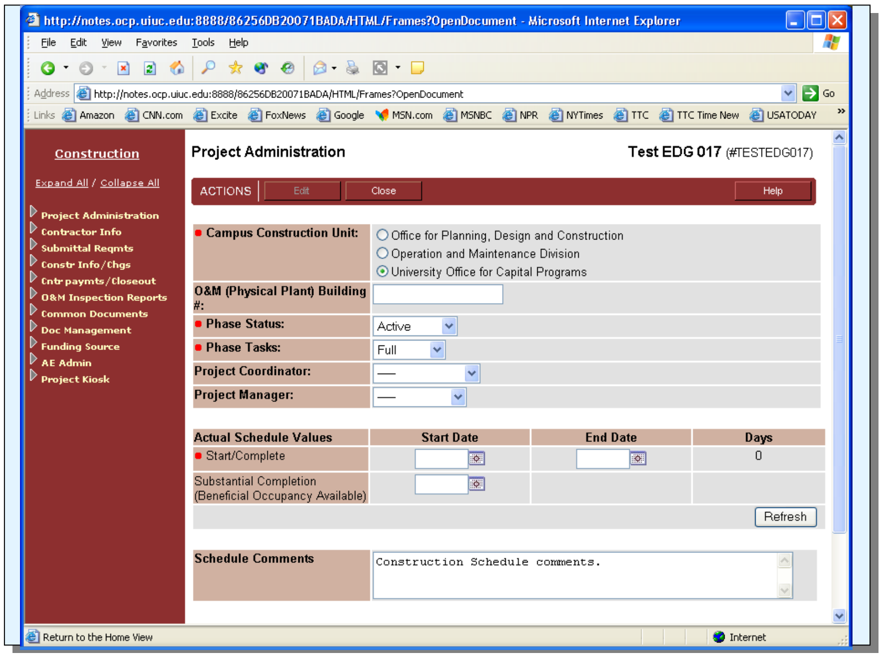
Once the Project Manager has performed these three tasks, the Architect/Engineer can begin to enter submittal requirements for Contractors, which will be used by Contractors as the work progresses.

As Contractors are added to the project, their first tasks within PRZM (in order) are to create their Contractor Information document, Subcontractor/Vendor/Supplier documents (as needed), and then create their Schedules of Values for each Division of Work for which they are responsible. The Schedule of Values must be approved by the Project Manager and others within the project.

The Campus Business Manager performs the following initiating task:

- Create Contractor Obligation documents.

Preparing the Project Administration Form



At the beginning of a project, prior to creating any phase task documents, the Project Administration form must be created. This form will identify the campus construction unit responsible for administering the project as well as other key information.

The Project Administration form is designed to help the Project Manager manage the project quickly and effectively. It is the first document the Project Manager must edit when each phase begins. When you begin your project, and select a Standard build, you will notice that the Project Administration form contains the potential to display schedule information for each phase. However, when you edit the document, you will see schedule entry information for each phase—and only that phase—in this document. Whenever you select Standard for phase tasks, in order to complete the phase, you will be required to return to the Project Administration document and enter schedule actual values. Since the Project Manager is the only person who can edit the Project Administration document, the Project Manager informs the project team by updating schedule information in this document; it automatically updates the non-editable Project Schedule document, which is viewable by the entire project team.

To Update the Project Administration Form:

1. From the Home view, click on the link to the Project Administration document.

   —Or—

2. From the navigator, click the twistie next to **Project Administration**.
3. Click **View/Edit**.

The Project Administration form appears, in Edit mode.

4. In the **Campus Construction Unit**: field, select the radio button which identifies the campus construction unit responsible for administering the project. The buttons are unique to each of the campuses.
5. In the **O&M (Physical Plant) Building #** field, give the building number for the project.
6. In the **Project Status** field, identify the status of the project from the drop-down list.
7. In the **Project Tasks** field, identify whether the phase requires one of two builds of the project from the drop-down list:

   - **Quick Build**

     If you select Quick, the phase will be built with minimum tasks. The purpose of this option is to allow you to create and complete the necessary documents for moving quickly into the next phase.

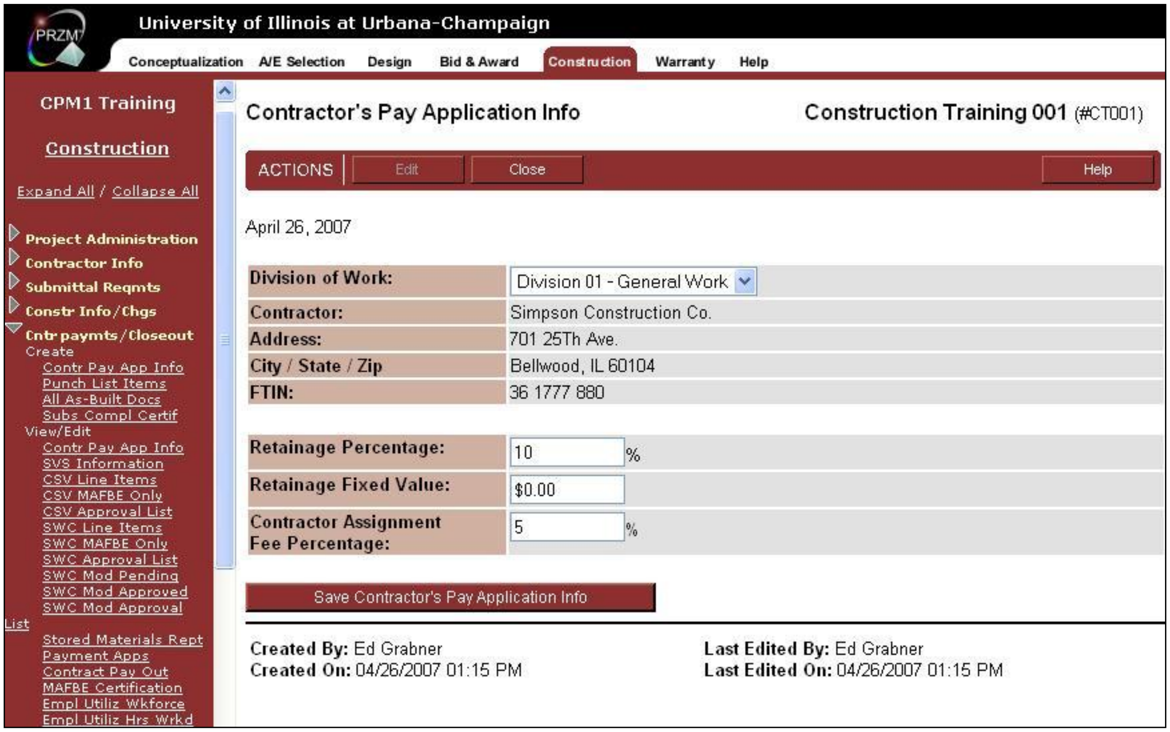
   - **Standard Build**

     If you select Standard, the form will refresh and fields for phase schedule values will appear.

8. In the **Project Coordinator** field, **c**hoose the appropriate team member from drop-down list.
   Note: The list will only contain team members listed in the project kiosk assigned the role of project coordinator.
9. In the **Project Manager** field, choose appropriate team member from drop-down list.
10. If the baseline project schedule values were input for the Construction phase when the project was set up, complete the Working Schedule values and designate that they are completed.
11. Click the **Refresh** button, to calculate the number of days in the project schedule.
12. When done, click the **Save Project Administration** button to save your work.

    ▸ **Note:** Once you save this document, ***working*** project schedule values entered into the Project Administration document will be copied into the Project Schedule. If you open the document to edit it again, you will be asked to add ***actual*** schedule values.

Contractor Pay Application Information



The Contractor Pay Application Information document is a necessary prelude to the payment application itself.

This is the first of three essential forms that must be completed to pay Contractors. This document is completed by the Project Manager, and contains information about retainage values. The other two forms which must be completed by the Contractor are the Employee Utilization Report and the approved Schedule of Work Completed form. Information in all 3 forms must agree.

- **Note:** It is the Contractor's responsibility to ensure that the forms are accurate.

Completing the Contractor's Pay Application Information Document:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **Create**, click **Contr Pay App Info**.

   A new Contractor Pay Application Information document appears.
3. In the Division of Work field, drop down the menu and select the applicable Division.

   The document refreshes, and imports information about that Division's contractor.
4. In the **Retainage Percentage** field, enter the percentage of retainage for that contractor's contract.
   By default, a value is entered; you may modify this value as necessary.

▸ **Note:** A retainage amount is typically held until the end of the construction. The retainage percentage may be reduced if the contractor submits a request for a reduction in retainage later in the project.

5. If this is a Contractor with Assigned Subcontractor, in the **Contractor Assignment Fee Percentage** field, a default percentage is displayed.
6. When complete, click the **Save Contractor's Pay Application Info** button to save your work.

Editing the Contractor's Pay Application Information Document:

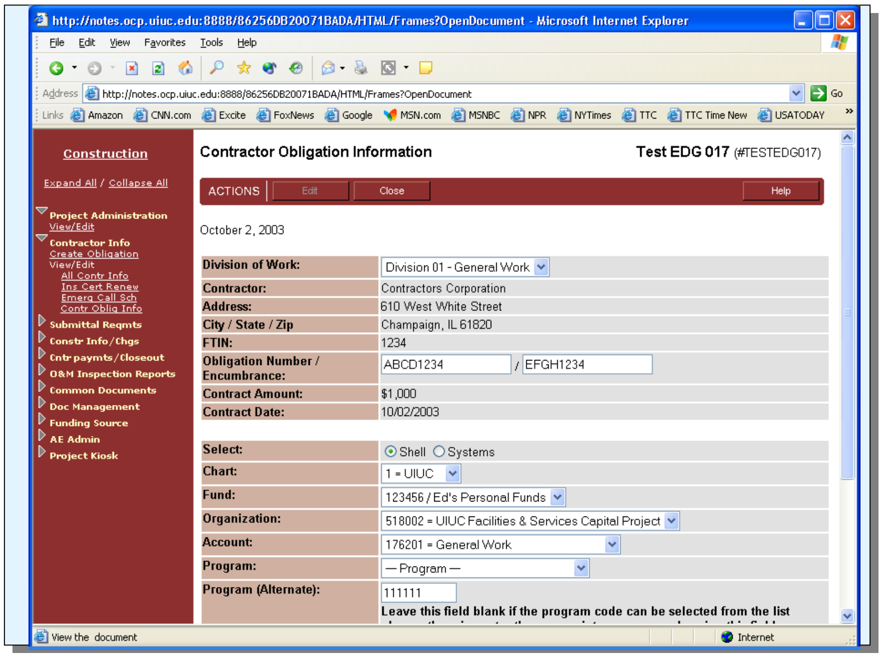
1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **View/Edit**, click **Contr Pay App Info**.

   A list of Contractor Pay Application Information documents appears.
3. Click on the link to the document you wish to edit.

   The document opens.
4. Click on the **Edit** button.

   The document refreshes in edit mode.
5. Modify the document, as necessary.
6. When complete, click the **Save Contractor's Pay Application Info** button to save your work.

The Contractor Obligation Document



The Contractor Obligation document provides information about University business processes that are necessary to obligate funds and pay vendors.

The Campus Business Manager completes this form for each contractor on the project.

To Create a Contractor Obligation Document:

1. In the navigator, click on the twistie next to **Contractor Info**.

   The options appear.

2. Click on **Create Obligation**.

   A new Contractor Obligation Document opens, in Edit mode.

3. In the **Division of Work** field, drop down the menu and select the division the contractor is responsible for.

   The form refreshes, and the contractor's name, address, FTIN, contract amount, and contract date and are automatically entered by PRZM.

4. In the **Obligation Number / Encumbrance** field, enter the appropriate numbers.

5. In the **Select**: field, select the radio button which applies: **Shell** or **Systems**.

6. In the **Chart** field, drop down the menu and select the appropriate campus or University code.

7. In the **Fund** field, drop down the menu and select the related fund.

8. In the **Organization** field, drop down the menu and select the correct organization.
9. In the **Account** field, drop down the menu and select the appropriate account for this division of work.
10. In the **Program** field, drop down the menu and select the appropriate Program Code.
11. In the **Program (Alternate)** field, enter the Program not listed in the Program field (above).
12. In the **Activity (Optional)** field, if you used the Program (Alternate) field, you may enter an appropriate activity, if desired.
13. In the **Location (Optional)** field, if you used the Program (Alternate) field, you may enter a location, if desired.
14. When you have finished, click on the **Save Contractor Obligation Info** button.

    The document is saved and you are returned to the view.

To Edit a Contractor Obligation Document:

1. In the navigator, click on the twistie next to **Contractor Info**.

   The options appear.

2. Under View/Edit, click on **Contr Oblig Info**.

   A list of Contractor Obligation Documents displays, organized by Division of Work.

3. Click on the link to the Division of Work you wish to edit.

   The form displays

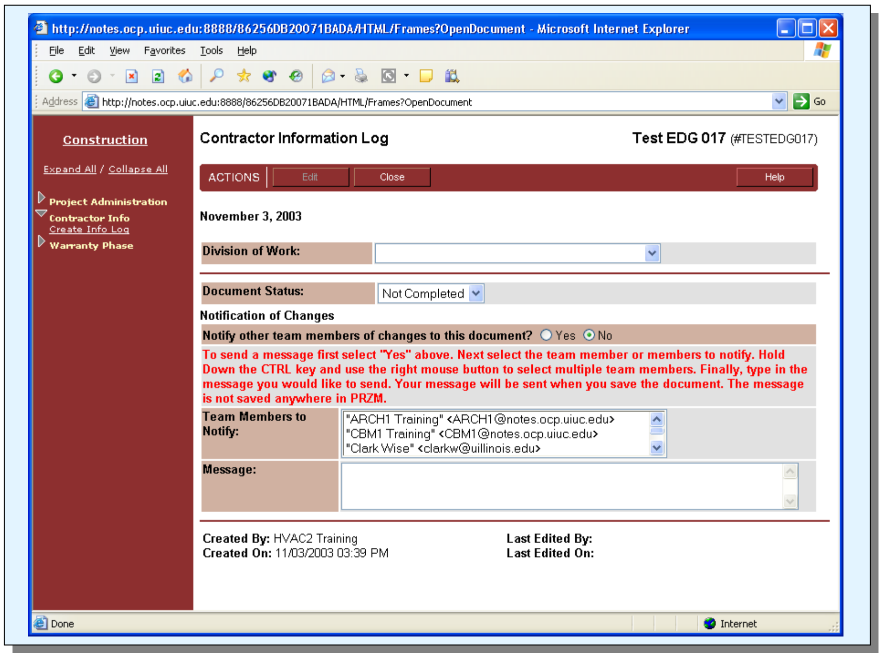
4. Click on the **Edit** button.

   The form opens in edit mode.

5. Make modifications as required.
6. When you have finished, click on the **Save Contractor Obligation Info** button.

   The document is saved and you are returned to the view.

Entering Contractor Information



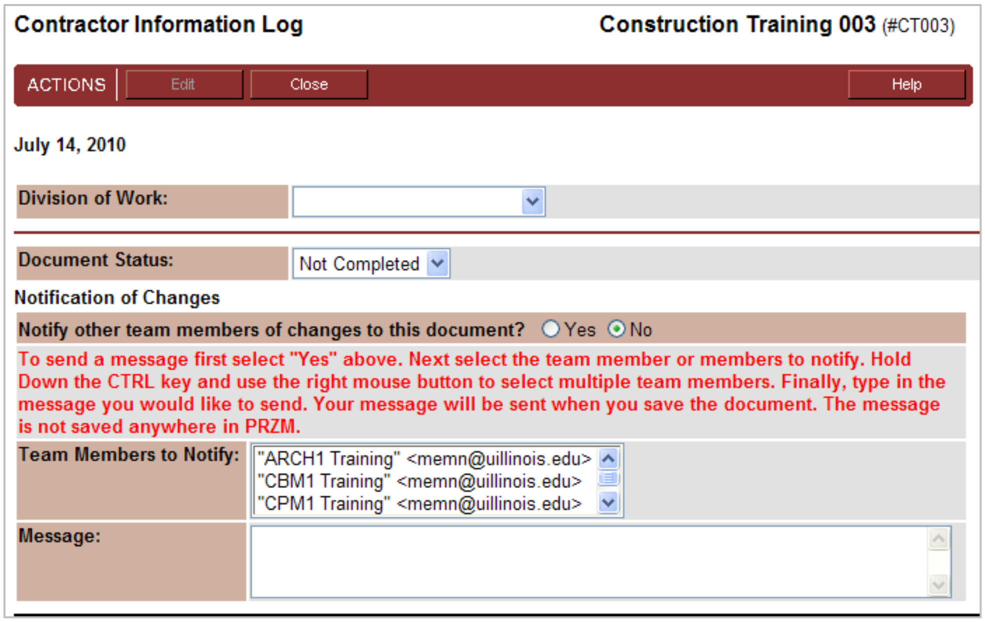
Every contractor must complete a Contractor Information Log at the beginning of a project. The log includes contact and other information that the construction team might need at a moment's notice.

▸ **Note:** You must fill out a Contractor Information Log for each Division of Work you are responsible for.

Completing the Contractor Information Log:

1. In the Construction navigator, click on the twistie next to **Contractor Info**.
2. Under **Create**, click **Contractor Info**.

   A new Contractor Information Log appears, as illustrated below.


Contractor Information Log **Construction Training 003** (#CT003)

ACTIONS | Edit | Close | Help

July 14, 2010

Division of Work:

Document Status: Not Completed

Notification of Changes

Notify other team members of changes to this document? Yes No

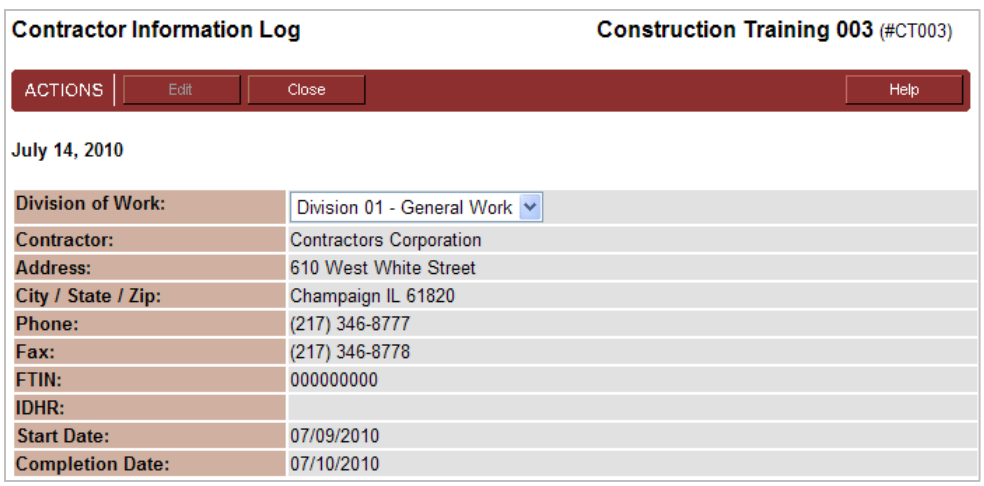
To send a message first select "Yes" above. Next select the team member or members to notify. Hold Down the CTRL key and use the right mouse button to select multiple team members. Finally, type in the message you would like to send. Your message will be sent when you save the document. The message is not saved anywhere in PRZM.

Team Members to Notify: "ARCH1 Training" <memn@uillinois.edu> "CBM1 Training" <memn@uillinois.edu> "CPM1 Training" <memn@uillinois.edu>

Message:

3. From the drop-down menu, select your **Division of Work**.

   The Contractor Information Log refreshes to automatically include the firm's information from the Vendor Registration, as illustrated below.


Contractor Information Log **Construction Training 003** (#CT003)

ACTIONS | Edit | Close | Help

July 14, 2010

Division of Work:	Division 01 - General Work
Contractor:	Contractors Corporation
Address:	610 West White Street
City / State / Zip:	Champaign IL 61820
Phone:	(217) 346-8777
Fax:	(217) 346-8778
FTIN:	000000000
IDHR:	
Start Date:	07/09/2010
Completion Date:	07/10/2010

- **NOTE:** The Contractor Information Log displayed above does not list real information; it is for illustration only. All Contractor Information Log documents will contain the Contractor's FTIN, IDHR number, and realistic dates.

4. Scroll down. In the *Primary Contact Information* section of the document, fill out the requested **Contact Name** and **Email address** sections on the form. Phone numbers are requested, but not required.

   ▸ **Note:** Phone numbers are requested so that other project team members can find contact information when necessary throughout the project.

5. In the **Job Site Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required.

6. In the **Emergency Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required.

7. In the **Warranty Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required.

   ▸ **Note:** Emergency Instructions are on this form as a convenience.

8. Fill out the **Performance and Payment Bond (PPB) Information** section. All fields in this section are required.

9. Fill out the **Insurance Certificate Information** section. All fields in this section are required.

10. In the **Type of Insurance** section, provide the company name, policy number, and expiration date.

11. Click the **Calculate Days to Expiration** button to see how many days are left before the policy expires. 

12. Mark the document complete by selecting **Completed** in the **Document Status** drop-down menu.

13. Fill in the **Notification of Changes** sections as needed.

14. Scroll down and click the **Save Contractor Information Log** button to save your work.


   ▸ **Note:** If you have not filled in all the required fields, the document will not save. You will see the following message:

   ```
   The document was not saved. Use the browser's back button
   to go back to the form and complete all of the required
   fields marked by the red dots.
   ```

   Use your browser button to return to the document, review it, fill in the missing information, and then save the document.

   If you need to create another Contractor Information Log document, for another Division of Work, click on the **Save and Create another Contractor Information Log** button.

   A new Contractor Information Log document opens.

15. From the drop-down menu, select your **Division of Work**.

   The rest of this table is filled in automatically by PRZM from the previous Contractor Information Log document.

16. Modify the document as needed.

17. Scroll down and click the **Save Contractor Information Log** button to save your work.

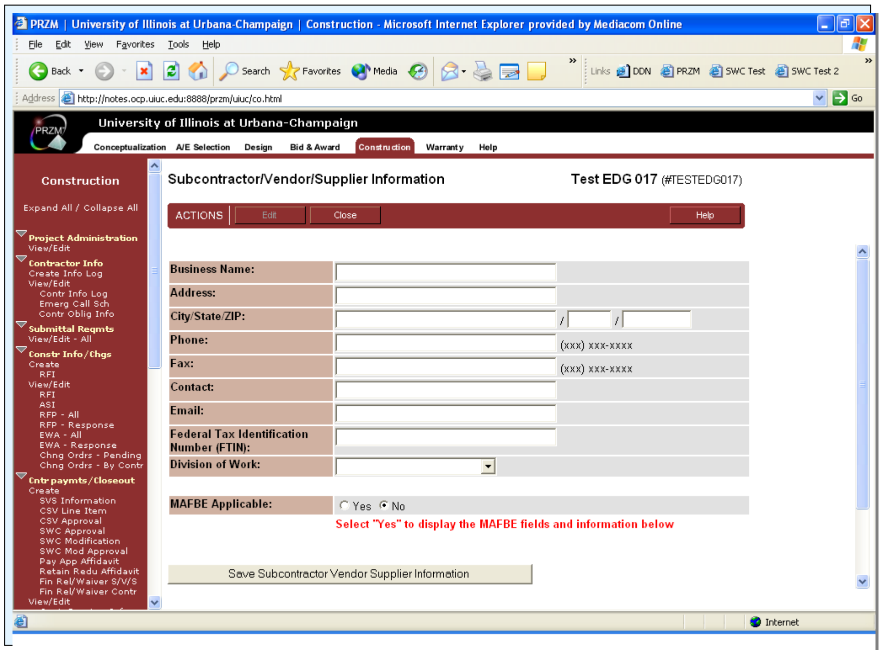
   ▸ **Note:** If you have not filled in all the required fields, the document will not save. You will see the following message:

```
The document was not saved. Use the browser's back button
to go back to the form and complete all of the required
fields marked by the red dots.
```

Use your browser button to return to the document, review it, fill in the missing information, and then save the document.

If your document was filled in completely and saved, you will be returned to the Contractor Information Log view, and the new Contractor Information Log will appear as a hotlink.

Completing the Subcontractor / Vendor / Supplier (SVS) Document



All Contractors need to be registered with the University of Illinois Office of Capital Programs and Real Estate Services' Vendor Services Application (VSA), including the prime contractor's subcontractors. Set up for and payment of the Contractor's contract relies on accurate information which is imported from VSA, including their own and their subcontractors' names and addresses.

The Contractor must create a Subcontractor / Vendor / Supplier (SVS) Information document for each subcontractor they will employ on the job.[1] Other documents, such as the Schedule of Values and the Schedule of Work Completed document, import information from these Subcontractor / Vendor / Supplier Information documents.

Each Subcontractor / Vendor / Supplier Information document requires that the Contractor select the location and subsequently the name of the Subcontractor / Vendor / Supplier firm and indicate the Division of Work and a summary of work, materials and/or equipment the Subcontractor / Vendor / Supplier will provide. The Contractor will also be required to upload a copy of the subcontractor's contract as well as copies of the subcontractor's disclosures and certifications[2].

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[1] Illinois Public Act 096-795 requires that all Illinois state agencies, including universities, collect information about contractors' subcontractors. The University of Illinois uses PRZM and the Illinois Public Higher Education Cooperative's (IPHEC) Bulletin to collect documentation and report to the state.

[2] Board of Elections Registration Certificate; Certifications and Statutory Requirements form, completed and signed; and Financial Disclosures and Conflicts of Interest form(s), completed and signed.

Once Subcontractor / Vendor / Supplier information documents have been created, PRZM gives them the status of "Pending", because they are subject to University approval.

A Subcontractor / Vendor / Supplier with a "Pending" status must be approved by the UI Project Manager. If the / Vendor / Supplier Information document was created after the approval of the Schedule of Values document, the / Vendor / Supplier is still subject to approval and will not appear on the various payment documents until approved.

Before You Begin:

Before you create the Subcontractor / Vendor / Supplier Information documents, you will want to :

- Ensure that your Subcontractors / Vendors / Suppliers are registered with the University's Vendor Services Application (VSA). You won't be able to create a Subcontractor / Vendor / Supplier Information document for an unregistered subcontractor.
- Gather the following documentation, in PDF format, for each Subcontractor / Vendor / Supplier:
  - The Subcontractor / Vendor / Supplier's signed and scanned contract[3] with your firm.
  - The Subcontractor / Vendor / Supplier's signed and scanned Certification and Statutory Requirements form.
  - The Subcontractor / Vendor / Supplier's signed and scanned Financial Disclosures and Potential Conflicts of Interest form.
- Ensure that all of the above documents are named using the University's required naming convention.

  ▸ **IMPORTANT:** If a required document is not uploaded or if the uploaded document is not named properly, your Subcontractor / Vendor / Supplier may be rejected by the University and need to be recreated.

To Complete a Subcontractor / Vendor / Supplier (SVS) Document:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **Create**, click **SVS Information**.

   A new SVS Information document opens.
3. In the **Select City for Vendor** field, drop down the menu and select the Subcontractor / Vendor / Supplier's city.

   The Vendor field appears.
4. In the **Vendor** field, drop down the menu and select the Vendor's name.

   ▸ **Note:** If the vendor's name does not appear, either you did not select the correct city, or the Vendor is not registered with the Vendor Services Application (VSA). You will need to ask your Subcontractor / Vendor / Supplier to register. You may not enter a vendor's name and address manually.

   The form refreshes and displays the subcontractor's address, phone numbers, FTIN, and MAFBE (Minority and Female Business Enterprise) status.

[3] As required by Illinois Public Act 096-795.

5. In the **Contact** field, type the name of the primary contact for the subcontractor, supplier, or vendor.

6. In the **Email** field, type the email address of the primary contact.

7. In the **Division of Work** field, drop down the menu and select the appropriate division for the subcontractor, supplier, or vendor.

8. In the **Summary of Subcontract Work, Materials or Equipment Provided** field, enter the work, materials or equipment that the subcontractor / vendor / supplier will be providing.

9. In the **Total Subcontract Value is $25,000 or Greater?** field, if the subcontractor's contract amount will be greater than $25,000 click in the **Yes** radio button. If not, click in the **No** radio button.

10. In the **Attach File** field, click on the **Browse** button Browse... to navigate to the electronic copy of the subcontractor's:

    - Scanned and signed contract (for all subcontracts over $25,000)
    - Certification form
    - Disclosures form

    ▸ **Note:** All these uploaded documents must be in PDF format and must be named using the University's file naming conventions. You can use the link on the form to go directly to the file naming convention document. Or you can go to the following website to obtain the forms and naming convention document.

    http://www.uocpres.uillinois.edu/contractors/contracts.shtml

11. Once you have located the file, click the **Upload** button. Upload

    ▸ **Note:** Upload each document individually. PRZM does not support multiple document uploads.

    The file is uploaded to the document.

12. Repeat the Browse and Upload procedures until all required documents have been uploaded.

13. When you are certain that you have accurately and completely filled out this form, in the **Send Notification for Review** field, click in the **Yes** radio button, to indicate that it is ready for the Project Manager's review.

14. Click on the **Save Subcontractor Vendor Supplier Information** button.

    Save Subcontractor Vendor Supplier Information

    The form closes and returns you to the view.

    ➢NOTE: If you have made a mistake and saved before you were ready, when you open the Subcontractor / Vendor / Supplier document, the **Delete Subcontractor Vendor Supplier Information** button appears for your use.

    Delete Subcontractor Vendor Supplier Information

    Use this function if you must delete this document and create a new one.

Instructions for the Project Manager

To Review a Subcontractor / Vendor / Supplier (SVS) Document:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under View/Edit, click on **SVS Information**.

   The SVS Information – All Divisions view appears.
3. Click **Expand All**.

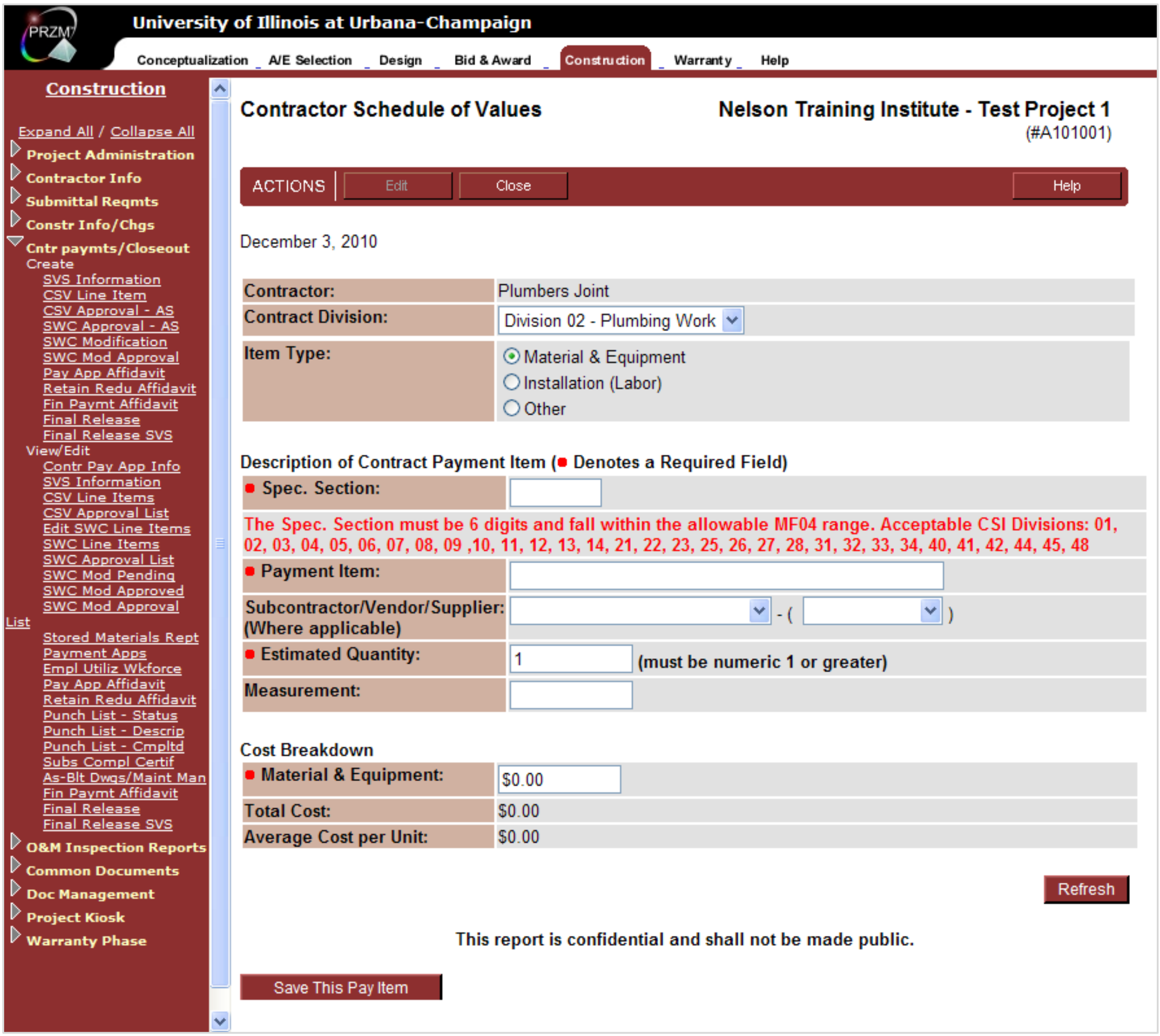
   Under each Division of Work, any SVS Information Documents awaiting your review will appear under the Pending status.
4. Expand the **Pending** status for the subcontractor information document you wish to view.
5. Click on the Subcontractor's name link.

   The Subcontractor / Vendor / Supplier Information document opens.
6. Review the subcontractor information.
7. Click on each attachment, to ensure that
   - it is the correct type of document.
   - it has been signed.
8. Review each file's name for compliance with the University's required naming convention.
9. If you accept the proposed Subcontractor / Vendor / Supplier, click the **Accept** button. Accept

   Accepted Subcontractors / Vendors / Suppliers will now be listed in the dropdown lists on the Contractor's Schedule of Values (see next topic).
10. If for any reason you cannot accept the Subcontractor / Vendor / Supplier, click the **Reject** button. Reject

    The SVS Information – All Divisions view appears, and the document has a status of "Rejected".
11. If you reject a Subcontractor / Vendor / Supplier, the Contractor will need to create a new version of the Subcontractor / Vendor / Supplier Information document and re-submit. The previous document cannot be edited and re-submitted.

The Contractor's Schedule of Values



Contractors submit their proposals to the campus during the Bid and Award phase on a lump sum basis; for example, a Contractor with Assigned Subcontractors submits a proposal for general work for $3.5 million. The purpose of the Contractor's Schedule of Values (CSV) form is to allow the contractor to break down a lump sum into smaller components of work that ultimately become payment items. The contractor can draw on these individual payment items for payment over the course of construction. This form is filled out exclusively by the Contractor.

A Schedule of Values document describes each contractor payment item for all of the work that will be done during the construction phase. Depending on the size of the project, this form could be used for many separate items for one contract. PRZM builds a table of information that will ultimately be approved by the Architect/Engineer and the Project Manager.

To Create Contractor's Schedule of Values Line Items:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **Create**, click **CSV Line Item**.
3. In the *Contract Division* section, drop down the menu and select the Division of Work.

   The document refreshes.
4. In the Item Type section, click in one radio button:
   - Materials
   - Installation (Labor)
   - Other

   The form refreshes, to display applicable fields.
5. In the *Description of Contract Payment Item* section:

   a. In the **Spec. Section** field, provide the numerical CSI designation for that specification section.

   ➢NOTE: Projects which began ***after July, 2009*** use the MF04 six-digit spec section numbers. If you need to convert from the MF95 five-digit spec section numbers, please use the matrix from the UOCPRES website's job aid area.

   http://www.uocpres.uillinois.edu/training/przm/MF95_To_MF04_Matrix.pdf

   b. In the **Payment Item** field, describe the spec section; for example, masonry work.

   c. In the **Subcontractor/Vendor/Supplier (if Applicable)** field, if the Spec. section item will be provided by a Subcontractor, Vendor or Supplier, drop down the menu and select the vendor's name (previously provided on an approved SVS information document), and in the next drop down menu, select which type this vendor is: Subcontractor / Vendor / Supplier.

   ▸ **Note:** If a subcontractor / vendor / supplier (SVS) document was rejected or has yet to be approved by the project manager, it will not appear on the dropdown list.

   d. In the **Estimated Quantity** and **Measurement** fields, enter the number and the unit of measurement applicable to this payment item, e.g., 500 square feet (for drywall).
6. In the *Cost Breakdown* section:

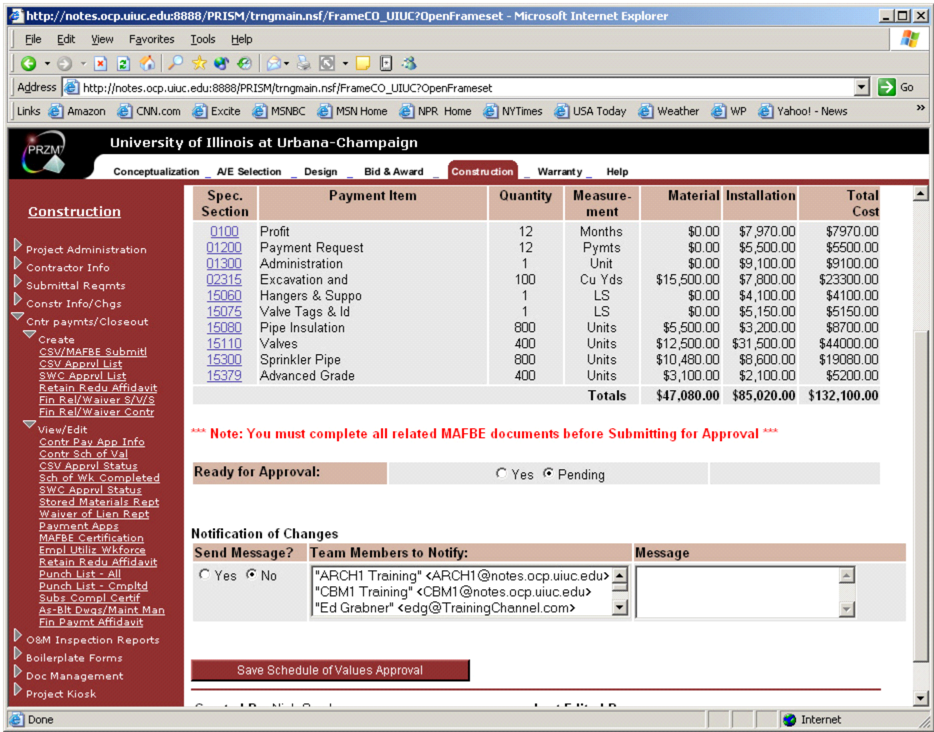
   a. In the **Material & Equipment** field, enter a dollar value.

   b. In the **Installation (Labor, etc.)** field, enter a dollar value for labor costs.

   c. Click the **Refresh** button to have the system calculate total cost and average cost per unit.
7. Click the **Save This Pay Item** button. 

   The CSV Line Item document is saved and the *Schedule of Values* view returns.
8. Continue to add Schedule of Values Line Items by repeating this process until your Schedule of Values Line Items are complete. You will then submit the Schedule of Values Approval List, which contains all line items, for approval (see next topic).

Submitting Schedule of Values for Approval



Once you have completed your Schedule of Values line items and related MAFBE Certification documents, and verified that the sum of your Schedule of Values matches your contract amount, you are ready to submit these documents for approvals by the Architect/Engineer and Project Manager.

▶ **IMPORTANT NOTE:** If you are a Contractor with Assigned Subcontractors, you must wait until all Schedules of Values for yourself and all your subcontractors are ready for submission. The Contractor with Assigned Subcontractors submits for approval the schedules of values for all work simultaneously.

Once you have submitted your Schedule of Values for approval, you will be unable to alter them (unless they are not approved and returned to you for revision).

To Submit Schedule of Values for Approval:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.

2. Under **Create**, click **CSV Approval**.

   The Contractor's Schedule of Values Approval List document opens in the main window.

3. From the *Contract Division* pull-down menu, select the Division of Work.

   The document refreshes.

4. In the *Ready for Approval* section, click on the radio button next to **Yes**.

   ▸ **Note:** If the *Ready for Approval* section is not visible, please note the message in red which explains the issue you need to remedy. Often, a line item might be omitted and the scheduled values do not match the contract amount(s) for either or both the contractor and/or the contractor's subcontractor(s), subvendor(s) or suppliers.

5. In the *Notification of Changes* section, if you wish to send a message to a team member, in the **Send Message** section click in the radio button next to **Yes**, then select the person you wish to be notified by email.

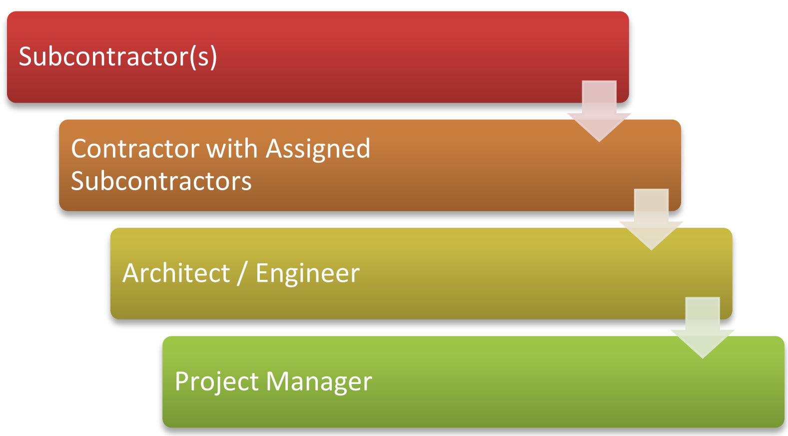
6. When you have finished, click the **Save Schedule of Values Approval** button.

   The approval list has been saved, and the first approver will be notified. The CSV Approval Status view appears, with the CSV's status noted as Pending.

▸ **IMPORTANT NOTE:** A subcontractor's CSV Approval goes to the Contractor with Assigned Subcontractor, for review and submission for approval when that firm submits its CSV Approval List.

Contractors' Schedule of Values approvals follow the path:



A Contractor with Assigned Subcontractors cannot submit his/her own CSV until all subcontractors' CSVs have been submitted and approved by him/her.

Viewing the Status of a CSV in the Approvals Process

You can view where a CSV is in the approvals process by going to the CSV Approval Status view.

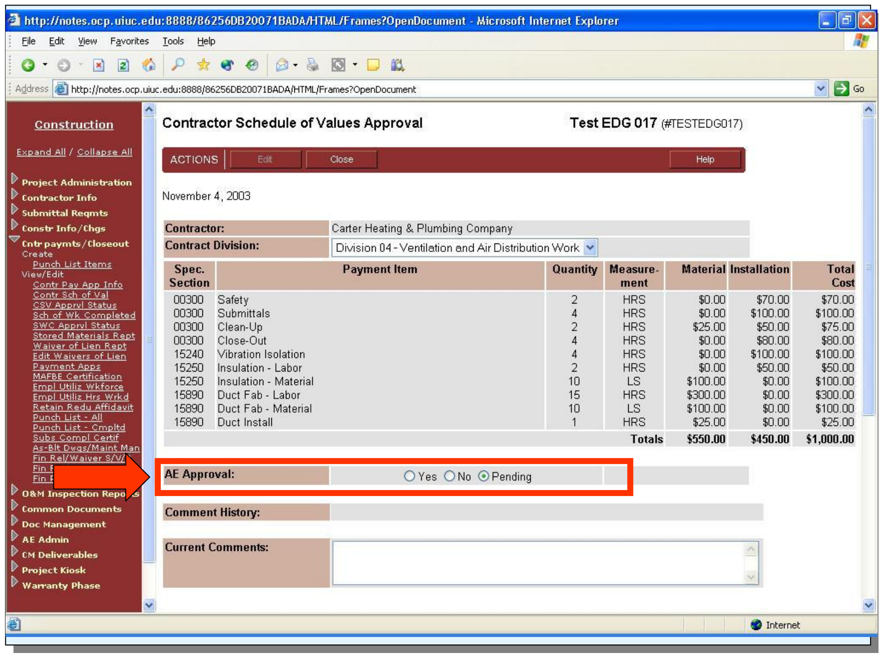
1. In the Navigator, under View/Edit, click on **CSV Approval List**.

   The CSV Approval list view appears.

2. In the view, click **Expand All**.

   The Contractors Schedules of Values under each status appear.

Approving Contractor's Schedules of Values



The Schedules of Values created by Contractors must be approved by others. All approvals take place serially. If the first approver rejects a Schedule of Values Approvals List, that Schedule of Values Approvals List is considered void. The Contractor must re-submit his Schedule of Values, by editing and saving the original set of spec items and then re-submitting them for approval.

For Assigned Subcontractors, the only approver is the Contractor with Assigned Subcontractors. If the Contractor with Assigned Subcontractors rejects a submission the submitting firm is notified of the rejection and must make the required adjustments to their Schedule of Values and resubmit for approval.

For the Contractor with Assigned Subcontractors, the first approver is the Architect/Engineer. The Project Manager then approves the Schedule of Values.

For Non-Assigned Subcontractors the first approver could be a Construction Manager, if the project is run by one, otherwise the first approver would be the Architect/Engineer and then the Project Manager. In these cases if the first approver rejects a submission, the submitting firm is notified of the rejection and must make the required adjustments to their Schedule of Values and resubmit for approval.

In all cases when the Project Manager approves a submission the corresponding PRZM Schedule of Work Completed documents will be automatically created.

To Approve a Schedule of Values:

1. In the navigator, click on the twistie next to **Cntr paymts/Closeout**.

The Create and View/Edit options appear.

2. Under View/Edit, click on **CSV Apprvl List**.

   In the main window, the CSV Approval Status view opens.

3. Click on the twistie next to **Pending**.

   A list of Divisions of Work appears.

4. Click on the twistie next to the Division of Work you will be approving.

5. Click on the Link to the Division of Work.

   —Or—

6. Come directly to the document by clicking on the link to the Schedule of Values in your Dashboard.

7. Click on the **Edit** button.

   The document opens in Edit mode.

8. If you wish to review each spec item, click on its link.

9. Review the Schedule of Values.

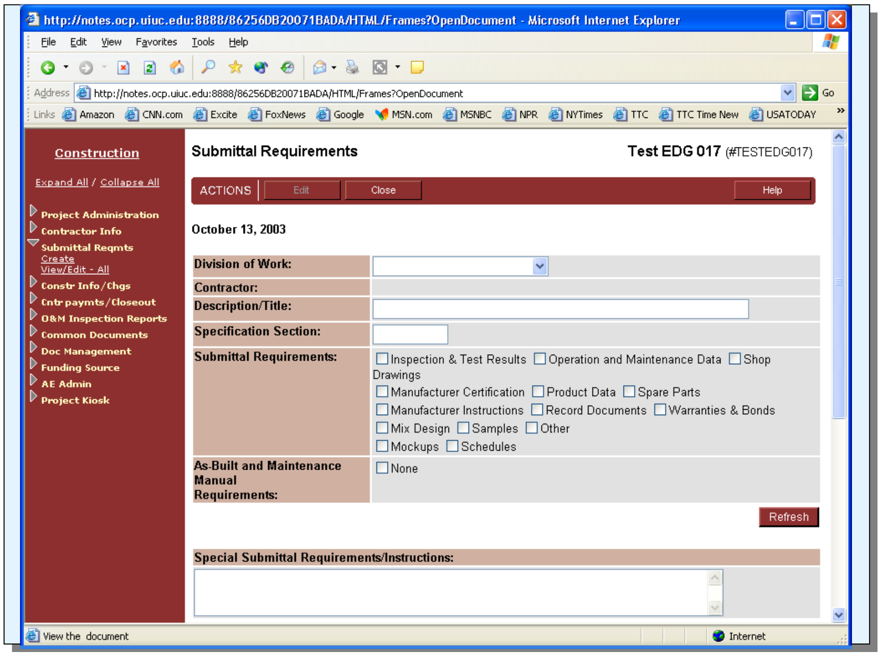
10. In the **Approval** section, select the desired radio button:

    - Yes
    - No
    - Pending

11. Scroll down the document and click on the **Save Schedule of Values Approval** button.

    The document is saved and the CSV Approval Status view returns.

Submittal Requirements



With this form, the Architect/Engineer communicates submittal requirements for the project by specification section. Here, the Architect/Engineer designates the contractor's submission of project data. Contractors will be able to view submittal requirements for work within their contract in the Submittal Log view in the Construction Phase.

To View Submittal Requirements:

1. In the Construction navigator, click on the twistie next to **Submittal Reqmts**.
2. Click on the **View/Edit – All** option.

   The view in the main window changes to display all divisions of work.
3. Click on the twistie next to the desired division of work.
4. Click on the hotlink for the desired document.

   The document displays in the main PRZM window.

To Create a New Submittal Requirements:

1. In the Construction navigator, click on the twistie next to **Submittal Reqmts**.
2. Click on the **Create** option.

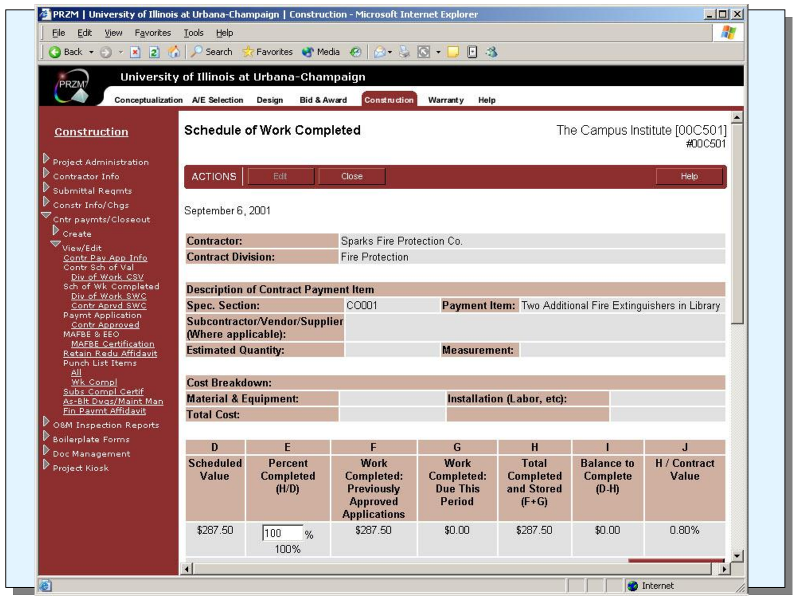
The view in the main window changes to display a new Submittal Requirements document.

3. In the **Division of work** section, drop down the menu and select the division of work for this submittal. Because this step follows the Divisions of Work documents you completed earlier, only the divisions of work selected to be bid will appear.
4. In the **Description/Title** section, enter the description of work title of the CSI division of this submittal. For example, this is where you would list "wood windows" followed by the CSI specification number in the next line.
5. In the **Specification Section**, enter the CSI specification number of this submittal; for example, for wood windows enter "07800."
6. In the **Submittal Requirements** section, select all the submittals you require the contractor to furnish for this specification section.
7. Click the **Refresh** button.

   The As-Built and Maintenance Manual Requirements section refreshes with related requirements.

8. In the **As-Built and Maintenance Manuals** section, click in the checkboxes for requirements for this submittal.
9. In the **Special Submittal Requirements/Instructions**, type into this box a list of requirements or instructions not adequately described elsewhere.
10. In the Notification of Changes section, if you wish to notify other team members, in the **Notify other team members of changes in this document** section, click in the **Yes** radio button.
11. In the **Team Members to be Notified** section, select those to be notified. Hold down the <Ctrl> key to select more than one name.
12. When done, click the **Save Submittal Requirements** button.

Contractor Payments



Prior to submitting Schedules of Work completed, the contractor must have completed the following documents:

- Contractor's Information Log
- Subcontractor/Vendor/Supplier (SVS) Information documents
- Contractor's Schedule of Values
- Contractor's Schedule of Values Approval List

In addition, the Project Manager must have completed the Contractor's Pay Application Information document and the Business Manager must have completed the Contractor's Obligation document.

Once a contractor has completed work, in order to get paid, he must fill out the following documents:

- Schedule of Work Completed
- Employee Utilization Report
- Schedule of Work Completed Approval List

These documents, while related to each other, must be completed separately. The Contractor first completes the Schedule of Work Completed, for the time period for which he wishes to be paid, and saves the document. The contractor must then create a Schedule of Work Completed Approval List. From the saved Approval List, the contractor can then create the Employee Utilization Report which relates to the same time period and effort. The contractor returns to the Schedule of Work Approval List and submits it for approval.

Approvals of the Schedule of Work Completed depend upon the contractor's relationships. If the contractor is a sub-contractor, the first approver would be the Contractor with Assigned Subcontractor. If the contractor is unassigned, the first approver would be either a construction manager (if a construction manager has been employed by the owner) or the Architect/Engineer firm employed by the owner. Finally the Project Manager approves the Schedule of Work Completed. PRZM automatically creates a Payment Application document once all approvals for the Schedule of Work Completed have been saved. The Business Manager approves the Payment Application and expedites the payment.

Rejections of the Schedule of Work completed return to the previous approver for comments and questions. Should all approvers reject the Schedule of Work Completed, the contractor may have to re-submit.

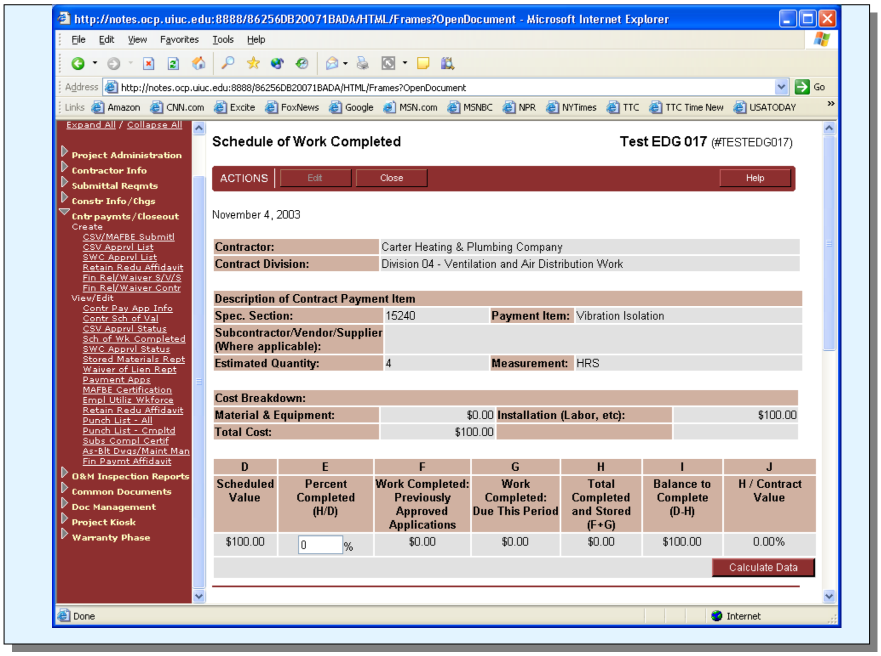
The following table summarizes the order and flow of work for ***first-time*** contractor payments.

Task No.	Person Responsible	Document
1.	Contractor	Contractor Information Document
2.	Contractor	Subcontractor/Vendor/Supplier Information Document (including related MAFBE information as required)
3.	Contractor	Contractor's Schedule of Values Line Item Documents
4.	Contractor	Contractor's Schedule of Values Approval List
5.	Project Manager	Contractor Pay Application Information
6.	Business Manager	Contractor Obligation Document
7.	Contractor with Assigned Subcontractors (if relevant)	Contractor's Schedule of Values Approval
8.	Construction Manager (if relevant)	Contractor's Schedule of Values Approval
9.	Architect/Engineer	Contractor's Schedule of Values Approval
10.	Project Manager	Contractor's Schedule of Values Approval
11.	Contractor	Schedule of Work Completed Line Item Documents
12.	Contractor	Schedule of Work Completed Approvals List (creation)
13.	Contractor	Employee Utilization Report
14.	Contractor	Schedule of Work Completed Approvals List (submission to first approver)
15.	Contractor with Assigned Subcontractors (if relevant)	Schedule of Work Completed Approval
16.	Construction Manager (if relevant)	Schedule of Work Completed Approval
17.	Architect/Engineer	Schedule of Work Completed Approval
18.	Project Manager	Schedule of Work Completed Approval
19.	Business Manager	Payment Application

The following table summarizes the order and flow of work for ***subsequent*** contractor payments.

Task No.	Person Responsible	Document
1.	Contractor	Payment Application – Mark Received for the previous pay period
2.	Contractor	Subcontractor/Vendor/Supplier Information Documents – Edit to include amounts paid, as applicable
3.	Contractor	Payment Request Affidavit and Partial Waiver of Lien Document
4.	Contractor	Schedule of Work Completed Line Item Documents
5.	Contractor	Schedule of Work Completed Approvals List (create new for the pay period)
6.	Contractor	Employee Utilization Report (create new for the pay period)
7.	Contractor	Schedule of Work Completed Approvals List (submission for approval)
8.	Contractor with Assigned Subcontractors (if relevant)	Schedule of Work Completed Approval (with review of Employee Utilization Report)
9.	Construction Manager (if relevant)	Schedule of Work Completed Approval (with review of Employee Utilization Report)
10.	Architect/Engineer	Schedule of Work Completed Approval (with review of Employee Utilization Report)
11.	Project Manager	Schedule of Work Completed Approval (with review of Employee Utilization Report)
12.	Business Manager	Payment Application

The Schedule of Work Completed



Contractors use the Schedule of Work Completed Line Item documents to report the completion percent for each distinct item in the Schedule of Values, to report payments to subcontractors/vendors/ suppliers, and to report the amount and location of any stored materials related to the Schedule of Values.

The contractor must update this form in order to get paid for work done on each Schedule of Values item during this payment period (as specified in the Contractor Pay Application Info form). The compilation of Schedule of Work Completed Line Items for a pay period is called the Schedule of Work Completed Approval List.

The Architect/Engineer must update these forms when waivers of lien are received from the subcontractor/vendor/supplier for this work.

Schedules of Work Completed documents are automatically created by PRZM when the Schedule of Values is approved. The first three sections of the form (Contractor Info, Description of Contract Payment Item, and Cost Breakdown) contain information taken directly from the Schedule of Values.

Instructions for the Contractor:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **View/Edit**, click **Sch of Work Completed**.
3. Navigate to the appropriate spec section and click the hotlink to open it.
4. Click the **Edit** button.

5. To indicate additional work on this item done during this period, update the **Percent Completed**, column E, to represent the total accumulated completion percentage for this item. For example, if 50% of this item was completed and paid for in the past, and 25% additional completion occurred this period, enter "75" in this field.

6. To convert the other fields in this section into dollar values, you may optionally click the **Calculate Data** button. If you do not, the calculations will be done automatically when the form is saved.

7. If this schedule of values item utilizes a subcontractor/vendor/supplier, then complete the first line in the **Waivers Due** section.

   - The first field is the oldest payment period for which payments to subcontractors/ vendors/suppliers have not been reported. This is a numeric value taken from the Contractor Pay Application Info document for that period.

   - The second field is the dollar amount you have paid to the subcontractor/vendor/ supplier (or, the cumulative outstanding balance for all previous payment requests).

8. If part of the completion percentage includes materials that have been purchased but not yet used, complete the **Stored Materials** section.

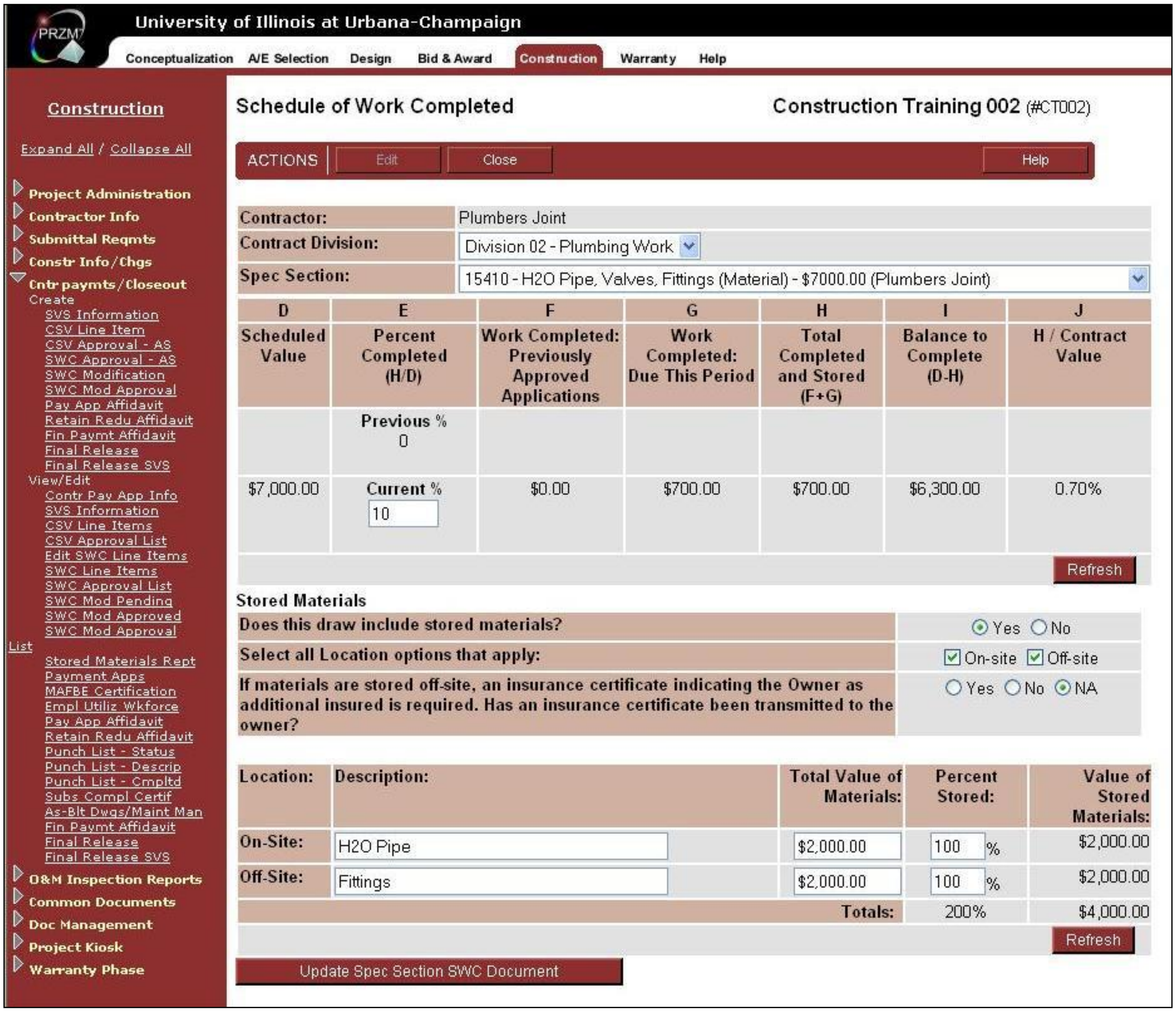
9. To indicate that the completion percentage includes stored materials, set the drop-down box to **Yes**.

   a. Indicate if the stored materials are in an *on-site* or *off-site* location. If they are stored in a combination of both, then choose *on-site*.

   b. Indicate what materials, the percent of the total amount of materials, and their value, that are stored on-site and off-site. If the materials are stored off-site, indicate if an appropriate insurance certificate has been transmitted to the owner.

   ▸ **Note:** The contractor cannot be paid for materials that are stored in a location at which the owner is not protected against loss of the materials.

10. When complete, click the **Save Schedule of Work Completed Item** button to save your work.



Editing Schedule of Work Completed Line Items:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**
2. Under Edit, click on **Edit SWC Line Items**.
3. The Schedule of Work Completed screen appears, with your firm's name listed.
4. From the **Contract Division** drop-down menu, select the Division of Work.

   The form refreshes.
5. From the Spec Section drop-down menu, select the relevant Spec Section.

   The form refreshes with the Scheduled Value and Previous Work entered.
6. In the Current % field, enter the percentage complete for the Spec Section item.
7. Click the **Refresh** button.

   The form refreshes to calculate the correct amounts in each column.

8. If the spec item includes stored materials, in the Stored Materials section of the form, click on the Yes radio button.

   The form refreshes.

9. In the Select All Locations that Apply section, click in the checkbox for the locations at which the materials are stored:

   - On-site
   - Off-site

10. If materials are stored off-site, you will see the following question:

    If materials are stored off-site, an insurance certificate indicating the Owner as additional insured is required. Has an insurance certificate been transmitted to the owner?

11. Click on the appropriate radio button

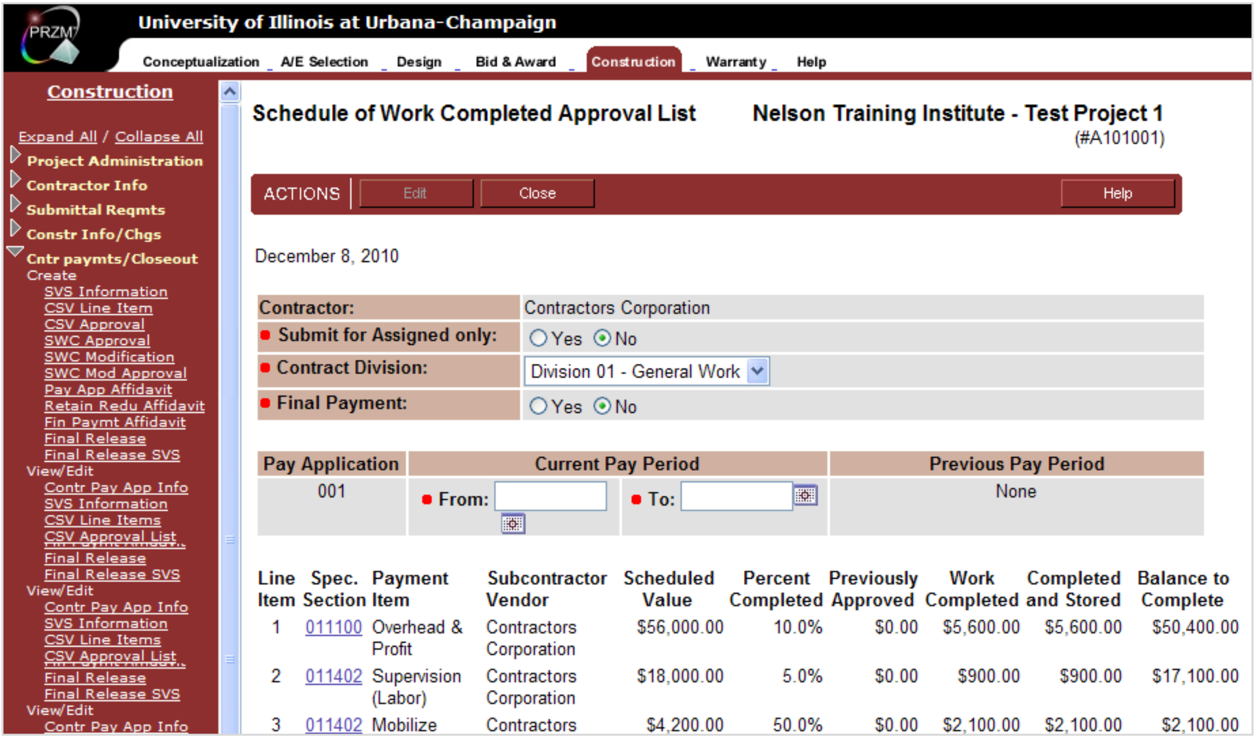
    - Yes
    - No
    - NA

12. In the next section, indicate what materials are stored in each selected location
13. In the next field, indicate the total value of the materials.
14. In the next field, indicate the percentage of the materials which are stored.
15. Click the **Refresh** button.

    PRZM calculates the value of the stored materials and refreshes the form.

16. When you have finished, click the **Update Spec Section SWC Document button**.

Creating the SWC Approval List



The Schedule of Work Completed Approval List combines information taken from the Contractor's Schedule of Values with information submitted with the Schedule of Work Completed Line Items. This view allows those who must approve the current work period's submittal for payment to review all relevant information in a single view.

The Schedule of Work Completed Approval List can only be created when the following two conditions have been met:

- Any previous SWC Approval List has been approved by all approvers and a Payment Application has been approved and marked paid by the Contractor.
- The contractor has marked some Schedule of Work Completed Line Items as partially completed for the next pay period.

Note: If you try to create a Schedule of Work Completed Approval List when these conditions are not met, you will receive an error message reading:

```
**** There is currently no Work Completed. Close or select an option on the Navigator. ****
```

Creating a Schedule of Work Completed Approval List:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**
2. Under **Create**, click on **SWC Approval**.

   A Schedule of Work Completed Approval List document opens.

3. In the **Contract Division** field, drop down the menu and select the appropriate Division of Work.

   The form refreshes.

4. In the **Current Payment Period** fields, give the dates which the current payment covers. Note that the previous Payment Period dates are listed for your reference.

   You may type in the dates or click the Date Navigator icon to select them from a calendar.

5. Review the Schedule of Work Completed Line Items displayed as well as the Stored Materials Report.

   ▸ **Note:** If you need to revise any of the Line Items, you will need to close the SWC Approval List without saving it and revise the Line Items, then return and re-create the SWC Approval List.

6. When you are satisfied with the Approval List, click on the **Save Schedule of Work Completed Approval List and Create Employee Utilization Report** button.

   The document is saved and the view returns to the SWC Approval Status – Contractor view.

   ▸ **Note:** You will need to open the saved Schedule of Work Completed Approval List to complete its related Employee Utilization Report. See next topic.

Creating a Schedule of Work Completed Approval List – Contractor with Assigned Subcontractor

A Contractor with Assigned Subcontractors can submit a Schedule of Work Completed for himself or for assigned subcontractors only. In order to submit for subcontractors, the Contractor with Assigned Subcontractors must first approve their Schedules of Work Completed. Once those are approved, they will show up on the Contractor with Assigned Subcontractors' Schedule of Work Completed, to be submitted for approval to the next approver.

➢NOTE: The following process includes both the Schedule of Work Completed Approval List and the Employee Utilization Report for the Contractor with Assigned Subcontractors.

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**

2. Under **Create**, click on **SWC Approval**.

   A Schedule of Work Completed Approval List document opens.

3. In the **Submit for Assigned Only** field, click one radio button: Yes or No.

   If the SWC Approval List is only for the assigned, the form refreshes and displays a table listing a summary of the assigned subcontractor(s)' SWC Approval list(s), with links to each. Skip to step # 8.

   If the SWC Approval List is for both the Contractor with Assigned and the Assigned Subcontractor, the form refreshes to display the Contract Division field.

4. In the **Contract Division** field, drop down the menu and select the appropriate Division of Work.

The form refreshes.

5. In the **Final Payment** field, select radio button: Yes or No.

   ▸ **Note:** for Final Payment, see topic later in this manual.

   The form refreshes and displays a table of all SWC line items, as illustrated below.

Line Item	Spec. Section	Payment Item	Subcontractor Vendor	Scheduled Value	Percent Completed	Previously Approved	Work Completed	Completed and Stored	Balance to Complete
1	011100	Overhead & Profit	Contractors Corporation	$56,000.00	10.0%	$0.00	$5,600.00	$5,600.00	$50,400.0
2	011402	Supervision (Labor)	Contractors Corporation	$18,000.00	5.0%	$0.00	$900.00	$900.00	$17,100.00
3	011402	Mobilize Labor (Labor)	Contractors Corporation	$4,200.00	50.0%	$0.00	$2,100.00	$2,100.00	$2,100.00
4	013000	Cost Estimating (Labor)	Construction Cost Systems, Inc.	$150,000.00	75.0%	$0.00	$112,500.00	$112,500.00	$37,500.0
5	014100	Parking Fees	Contractors	$500.00	0.0%	$0.00	$0.00	$0.00	$500.0

6. In the **Current Payment Period** fields, give the dates which the current payment covers. Note that the previous Payment Period dates are listed for your reference.

   You may type in the dates or click the Date Navigator icon to select them from a calendar.

7. Review the Schedule of Work Completed Line Items displayed as well as the Stored Materials Report.

   ▸ **Note:** If you need to revise any of the Line Items, you will need to close the SWC Approval List without saving it and revise the Line Items, then return and re-create the SWC Approval List.

8. Scroll down and review the Assigned Subcontractor area of the form. Click on the link and review the Assigned Subcontractor's SWC Approval List, as necessary. An example of the subcontractor area is illustrated below.

Assigned Subcontractor Divisions Approved by the Contractor for submission with this SWC Approval List

Link	Division	Assigned Subcontractor	Current Work Completed	Total Completed and Stored	Balance To Complete
001	Division 02 - Plumbing Wo	Plumbers Joint	$3,000.00	$3,000.00	$27,000.00

   ▸ **Note:** The Contractor with Assigned will have reviewed each Subcontractor's SWC Approval List and approved it prior to completing their own SWC Approval list.

9. When you are satisfied with the Approval List, click on the **Save Schedule of Work Completed Approval List and Create Employee Utilization Report** button.

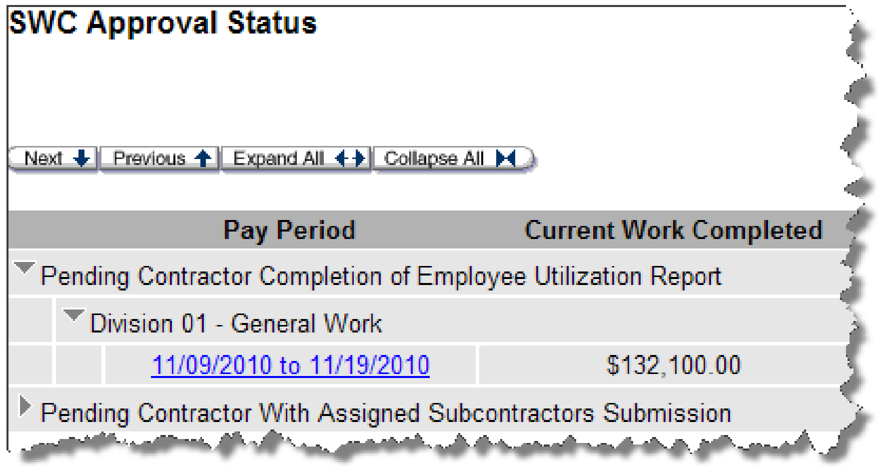
   Save SWC Approval List and Create Employee Utilization Report

   The document is saved and the view returns to the SWC Approval Status view.

   ▸ **Note:** You will need to open the saved Schedule of Work Completed Approval List to complete its related Employee Utilization Report.

10. Click on the twistie next to Pending Contractor Completion of Employee Utilization Report, then click on the twisty next to your Division of Work.

    A link to the Schedule of Work Completed Approval List for the pay period is revealed, as illustrated below.



11. Click on the link to the pay period.

    The Schedule of Work Completed Approval List opens.

12. Scroll down the list and click on the link to the related Employee Utilization Report.

    The Employee Utilization Report document appears.

13. Click on the **Edit** button.

14. Enter the number of workers in each category and the minority status of those in each category.

15. Click the **Calculate** button.

16. Enter the number of hours worked by each worker represented in the Contractor's Workforce.

17. Click the **Calculate** button.

18. Scroll down to **Table C: Direct Subcontractors Included in the Report.** If the list of workers includes those from any listed subcontractors, click on the name(s) of the included subcontractors.

    ▸ **Note:** To click on more than one subcontractor, hold down the CTRL key while clicking.

19. Scroll down to the Is this Employee Utilization Report Ready for Review section.

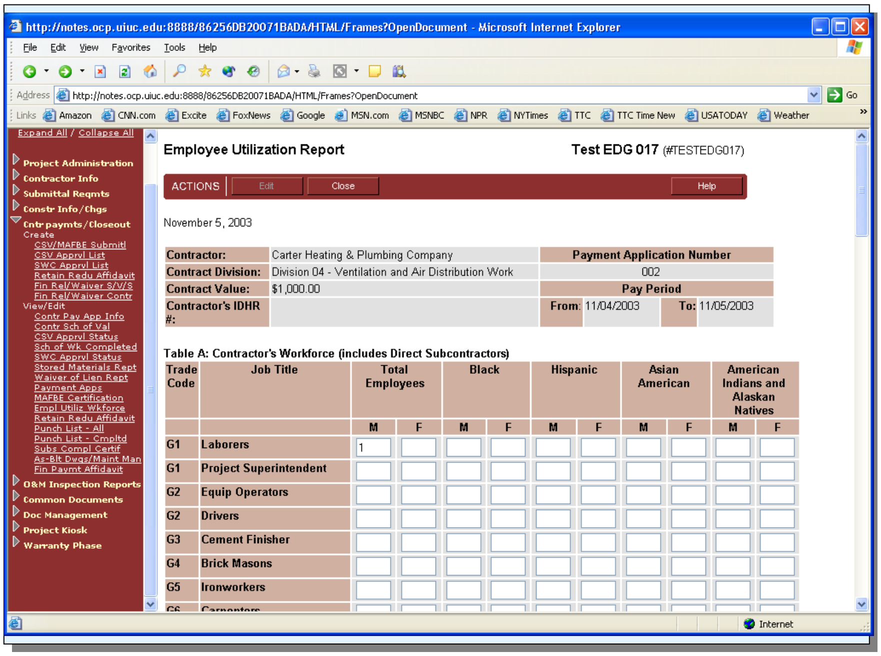
20. When you are ready, click the **Yes** radio button.

21. Click on the **Save Employee Utilization Report** button.

    The document closes and the Employee Utilization Report view displays.

    ▸ **IMPORTANT:** Your next step is to submit the Schedule of Work Completed Approval List to the first approver (see topic following Employee Utilization Report, following). Until you have submitted the Schedule of Work Completed Approval List, your application for payment cannot be approved.

The Employee Utilization Report



The Employee Utilization Report records the make-up of the construction workforce. This document goes hand in hand with the payment request process each month. Each contractor completes an Employee Utilization Report on a periodic basis, as designated on the payment request.

Once you have completed the Schedule of Work Completed Approval List, you will need to fill out a related Employee Utilization Report in order to request approval of your payment.

To Create an Employee Utilization Report:

1. Open the recently completed Schedule of Work Completed Approval List.

   —Or—

   In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   Under **View/Edit**, click **SWC Approval List**.

   The view opens.

2. Click on the arrow next to the Division of Work.
3. Click on the arrow next to Pending Contractor Completion of Employee Utilization Report.
4. Click on the Pay Period link.

   The Schedule of Work Completed Approval List opens.

5. Scroll to the bottom of the Schedule of Work Completed Approval List.

6. Click on the **Link to Employee Utilization Report** link.

   An Employee Utilization Report form opens.

7. Click the **Edit** button.

8. In **Table A: Contractor's Workforce (includes Direct Subcontractors)**:

   a. Enter the **total number** of workers (including subcontractors) who were on the job site during the period specified above.

   b. Fill in the number of **minority** workers (including subcontractors) who were on the job site during the period specified above.

   c. Click the **Calculate** button to view the totals.

9. In **Table B**, provide the number of hours worked by the various trade codes.

10. In **Table C: Direct Subcontractors Included in the Report**, click on the names of the subcontractor firms that are included in this report.

    ▸ **Note:** To click on more than one subcontractor, hold down the CTRL key while clicking.

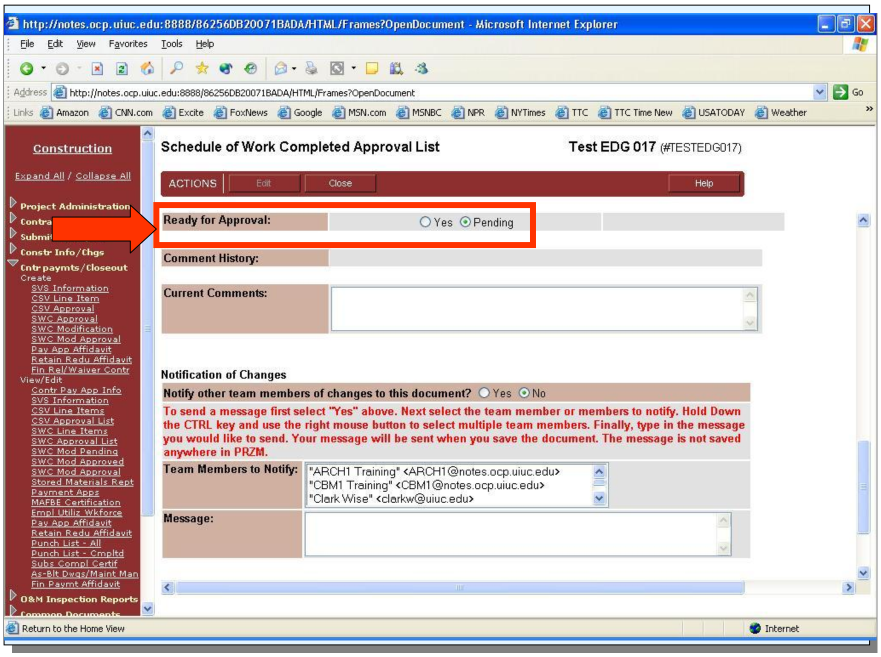
11. In the **Is this Employee's Utilization Report ready for review?** field, click ***Yes***.

12. When complete, click the **Save Employee's Utilization Report button** to save your work.

    The form closes and saves, and the Employee Utilization Report view opens.

    ▸ **IMPORTANT:** Your next step is to submit the Schedule of Work Completed Approval List to the first approver (see next topic). Until you have submitted the Schedule of Work Completed Approval List, your application for payment cannot be approved.

Submitting the Schedule of Work Completed Approval List



The Schedule of Work Completed Approval List combines information taken from the Contractor's Schedule of Values with information submitted with the Schedule of Work Completed. This view allows those who must approve the current work period's submittal for payment to review all relevant information in a single view.

Once the Contractor has completed the Schedule of Work Completed and the Employee Utilization Report, he is ready to mark the Schedule of Work Completed Approval List as ready for approval. Until he does so, none of the approvers will be able to view and approve the items which he are ready for payment.

To Submit the Schedule of Work Completed Approval List:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **View/Edit**, click **SWC Approval List**.

   The view opens.
3. Click on the arrow next to the Division of Work.
4. Click on the arrow next to Pending Contractor Submission.
5. Click on the link to the pay period.
6. The Schedule of Work Completed Approval List opens.

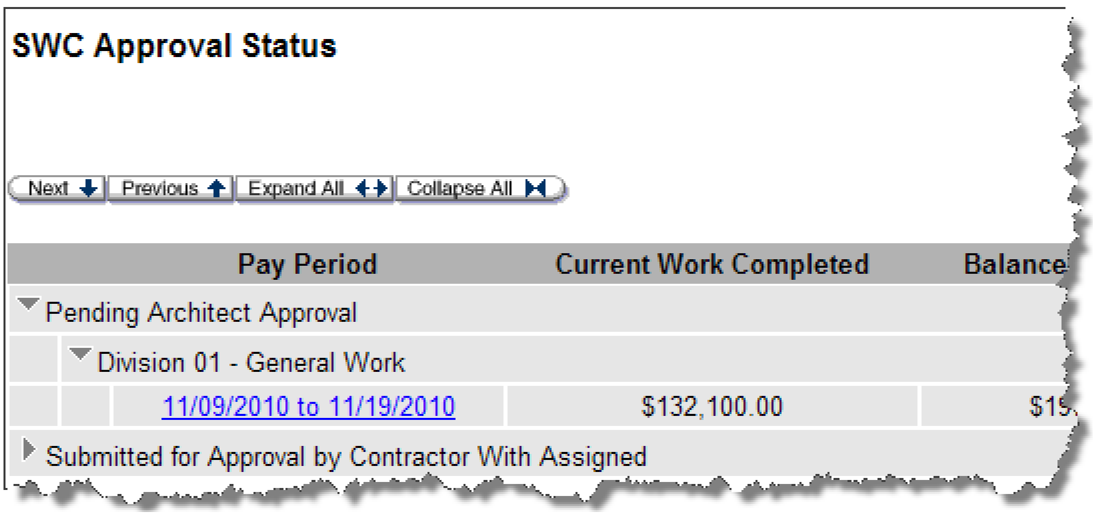
7. Click the **Edit** button.
8. Scroll down the form.
9. In the **Ready for Approval** field, click the **Yes** radio button.

   ▸ **Important Note:** This If you forget to mark this field as Ready for Approval, your payment request will not be submitted.

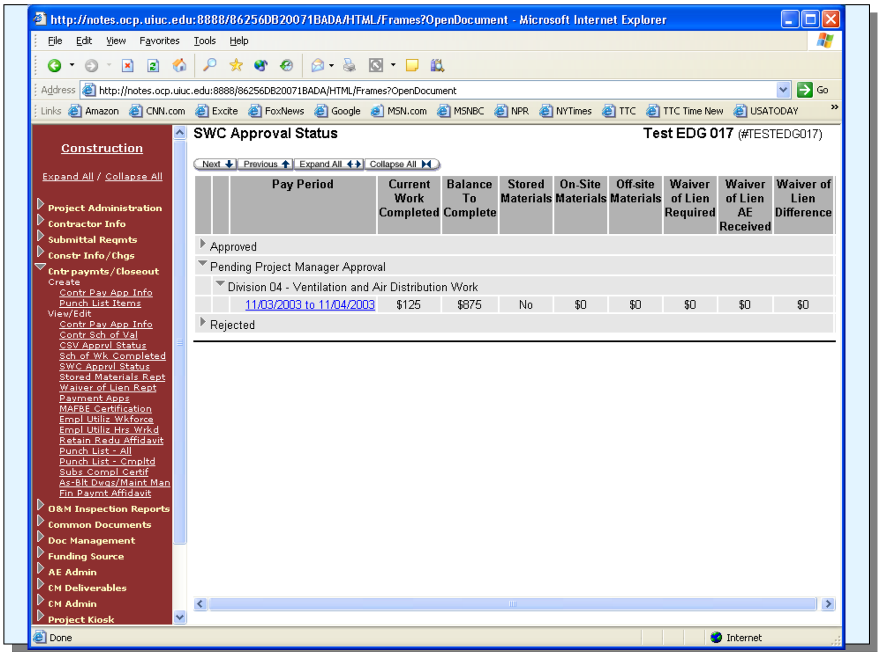
10. Scroll further down the form.
11. Click on the **Save SWC Approval List** button.

    ▸ **Note:** Once you have saved the Approval List, you will no longer be able to edit it.

    The SWC Approval Status view returns. You may review your SWC Approval List by clicking the pay period link as illustrated below, but it is no longer editable. It is now pending the first reviewer's approval.



Approving a Schedule of Work Completed



A Contractor with Assigned Subcontractors approves the Schedule of Work Completed (SWC) Approval List for each subcontractor (prior to submitting their own SWC Approval List). The Project Manager approves the Contractor with Assigned Subcontractor's SWC Approval List.

To Approve a Schedule of Work Completed Approval List:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **View/Edit**, click **SWC Approval List**.
3. Click on the arrow next to the appropriate Division of Work.
4. Click on the arrow next to Pending <Role> Approval.
5. Click on the Pay Period link.

   The Schedule of Work Completed Approval List opens.
6. To view the Employee Utilization Report, scroll down the document and click on the link.

   ▸ **Note:** If you clicked on the SWC Approval List's Edit button, you will need to click on your browser's Back button. The Employee Utilization Report link is only viewable from the SWC Approval List in Read mode.

   The Employee Utilization Report opens.
7. Review the document.

8. Click your browser's Back button to return to the Schedule of Work Completed Approval List.

   The SWC Approval List opens.

9. Click the **Edit** button.

10. Review the Schedule of Work Completed Approval List.

11. Scroll to the bottom of the document.

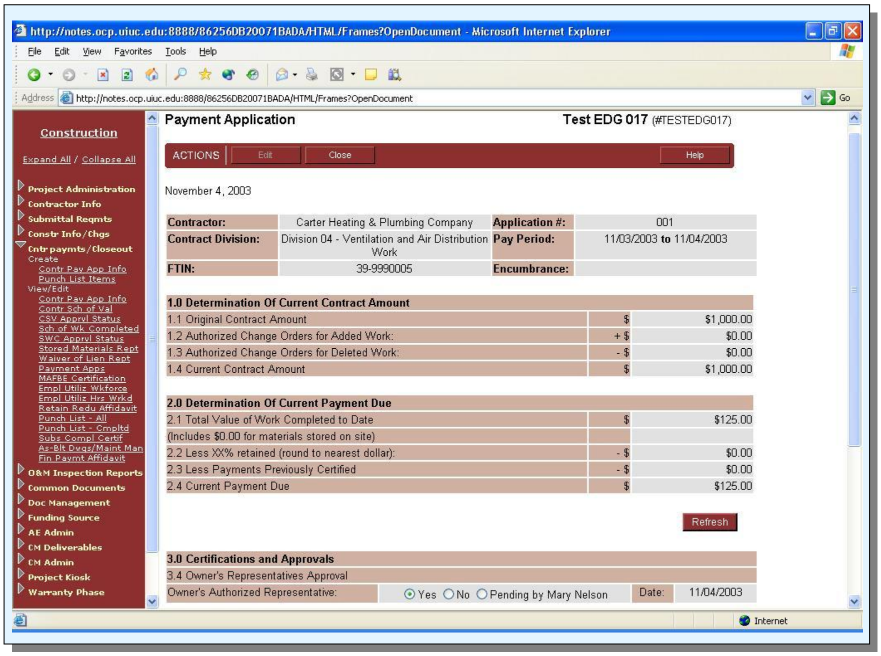
12. In the Approvals section, click on the radio button that reflects your decision about this SWC Approvals List.

    - To approve, click the **Yes** radio button**.**
    - To reject, click the **No** radio button**.**
    - To postpone your decision, click the **Pending** radio button.

13. When you have finished, click the **Save Schedule of Work Completed Item** button to save your work.

    The document closes and the SWC Approval Status view returns.

Completing the Payment Application



The Business Manager completes the payment process by completing a payment application document for each Division of Work submitted.

To Complete the Payment Application:

1. Click the link on your Dashboard to go directly to the payment application. (Skip to Step 7.)

   The Payment Application opens.

   —Or—

2. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**
3. Under **View/Edit**, click **Payment Apps**.

   The Payment Applications view appears.

4. Click the arrow next to Pending.
5. Click the arrow next to the Division of Work.
6. Click on the link to the payment application number.

   The Payment Application opens.

7. Click on the **Edit** button.

   The form refreshes and re-opens in Edit mode.

8. Review the payment application.
9. Click the **Refresh** button.

   Clicking the Refresh button ensures that the related financial services information is included in the payment application.

   ▸ **Note:** If the Contractor's Obligation document has not yet been completed, the Business Manager will be required to do so prior to completion of the payment application.

10. In the **Campus Construction Unit Financial Services Required Information** section, type in the following information:
    - User Reference Number (if desired)
    - College Department No.
    - Payment Type (either Partial or Final)
11. In the **Required Information Complete?** field, select the radio button which reflects your answer.
12. When you have completed your review and entries, click the **Save Payment Certificate** button.

    If your answer was "Yes" continue with Step 13. If your answer was "No" the Project Manager will be notified that the Payment Certificate has been returned to the Project Manager approval stage.

13. The document closes and the Payment Applications view displays.
14. To print the Payment Certificate, expand all in the view.
15. Click on the link to open the desired Payment Certificate and scroll to the bottom.
16. Click the **View Print Friendly Page** button. 

    A print-friendly version of the Payment Certificate appears.

17. Right click on the Payment Certificate.

    A context-sensitive menu appears.

18. Click on the **Print** option.

    The Print dialog box opens.

19. Click the **Print** button.

    The document prints.

Instructions to the Project Manager:

In the event that a Business Manager returns a Payment Application to the Project Manager approval stage follow these steps.

1. Click the link on your Dashboard to go directly to the payment application.

   The Payment Application opens. (Skip to Step 7.)

—Or—
In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**

2. Under View/Edit, click Payment Apps.

   The Payment Applications view appears.

3. Click the arrow next to Pending.

4. Click the arrow next to the Division of Work.

5. Click on the link to the payment application number.

   The Payment Application opens. Review the Comments History to know what conditions need to be fulfilled before completing the next steps.

6. Click on the **Edit** button.

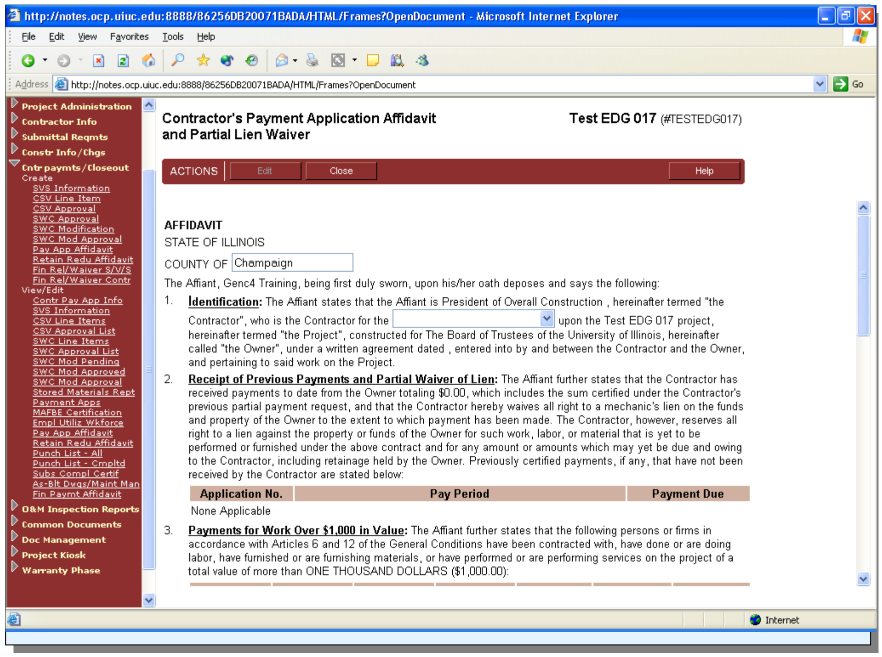
   The form refreshes and re-opens in Edit mode.

7. In the **Owner's Authorized Representative** field, select "Yes" to indicate your approval.

8. When you have completed your approval, click the **Save Payment Certificate** button.

   The Payment Certificate is approved and the Business Manager will be notified again to complete the payment process.

The Payment Application Affidavit and Partial Lien Waiver



This process is followed as part of the second and subsequent payments.

Prior to completing the Payment Application Affidavit and Partial Lien Waiver document, you need to:

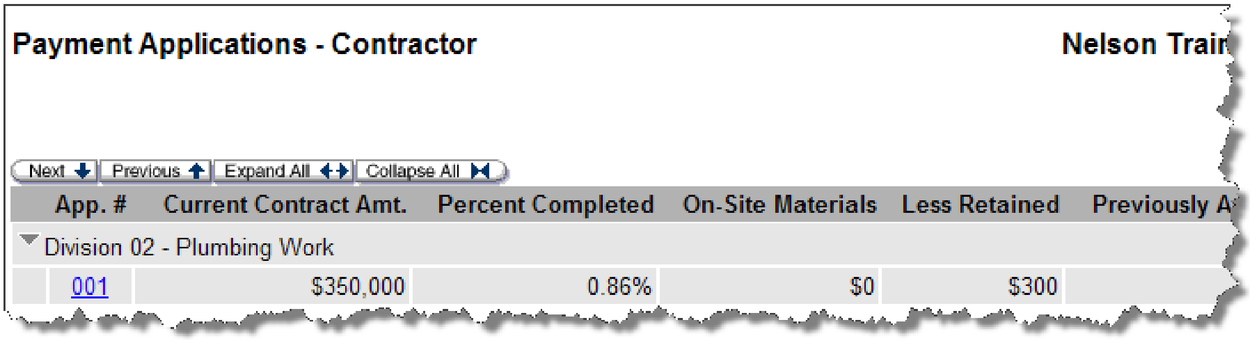
- Marked the previous payment as "Received" for the previous pay period. This is necessary to ensure that the next Payment Application Affidavit and Partial Lien Waiver to be submitted is accurate and up to date.
- Edit all relevant Subcontractor/Vendor/Supplier documents with the amounts paid to any subcontractor, vendor or supplier for the previous pay period.

To Mark Previous Payments as Received:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**
2. Under **View/Edit**, click **Payment Apps**.

   The Payment Applications view appears.
3. Click the arrow next to the Division of Work.

   The list of completed payment applications appears, as illustrated below.



4. Click on the link to the payment application number.

   The Payment Application opens.

5. Scroll to the bottom of the document.

6. Click on the **Payment Received** button.

   Your payment is marked received and the Payment Applications view returns.

To Enter Payments to Subcontractors, Vendors, or Suppliers:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

2. Under **View/Edit**, click **SVS Information**.

   The SVS Information – Contractor view appears.

3. Click on the arrow next to your Division of Work.

   The list of Subcontractor/Vendor/Suppliers appears.

4. Click on the name of the Subcontractor/Vendor/Supplier whose payment information you wish to update.

   The Subcontractor/Vendor/Supplier Information document opens.

5. Click the **Edit** button.

   The document opens in Edit mode.

6. In the **Total Paid to Date** field, type the amount you have paid the Subcontractor, Vendor, or Supplier.

7. If the amount is less than that listed in the Current Work Completed field, in the **Detailed Explanation for Unpaid Amount** field, type the reason for the discrepancy.

8. Scroll to the bottom of the document.

9. Click on the **Save Subcontractor/Vendor/Supplier Information** button.

To Create the Payment Application Affidavit and Partial Lien Waiver:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout.**

2. Under Create, click on **Pay App Affidavit**.

A Payment Application Affidavit and Partial Lien Waiver document opens.

3. Under **1. Identification**, drop down the menu and select the Division of Work.

   The document refreshes.

4. Review the automatically inserted data in the rest of the document.

   ▸ **Note:** This document can not be edited once it is marked completed and saved.

5. When you are ready to submit the document, under **Status**, click the radio button next to **Completed**.

6. Click the **Save Contractor's Payment Application Affidavit and Partial Lien Waiver** button.

7. To print the Payment Certificate, open it and scroll to the bottom.

8. Click the **View Print Friendly Page** button.

   A print-friendly version of the Payment Certificate appears.

9. Right click on the Payment Certificate.

   A context-sensitive menu appears.

10. Click on the **Print** option.

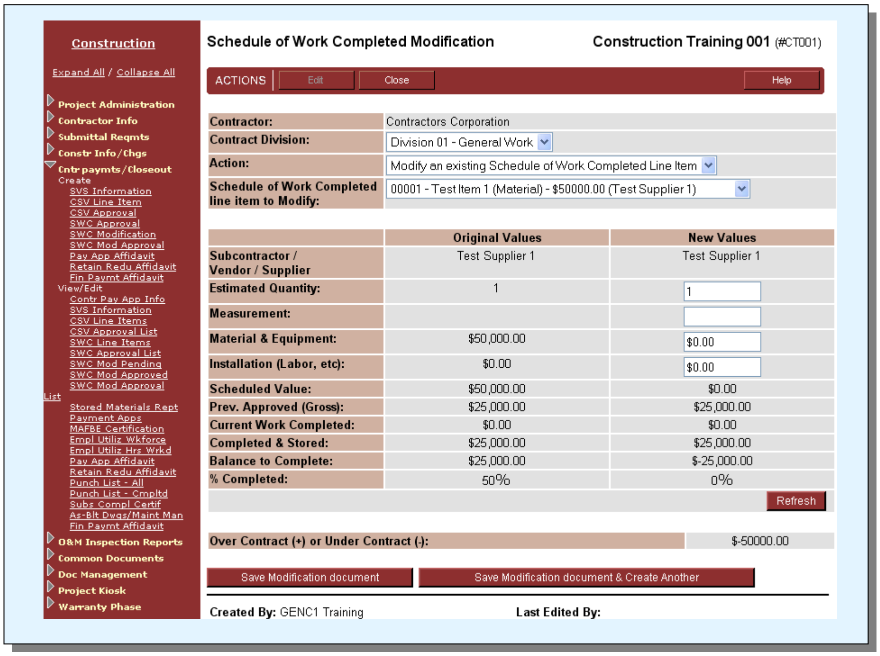
    The Print dialog box opens.

11. Click the **Print** button.

    The document prints.

12. The notarized printed copy must be sent to the Project Manager.

Modifying a Schedule of Work Completed Line Item



Occasionally, due to circumstances beyond a project manager's or contractor's control, a Schedule of Work Completed line item may need to be modified. One reason this might need to be done is to transfer an amount from one existing line item to another existing line item, when, for example, labor for one activity did not require as much as first designated but another line item required additional time and therefore additional resources.

The contractor may break up the value of one SWC line item by reducing the value of an existing SWC document and creating another SWC doc for the balance.

To Modify a Schedule of Work Completed Line Item:

1. In the navigator click on the twisty next to **Cntr paymts/Closeout.**
2. Under Create, click on **SWC Modification**.

   A new SWC Modification form appears.
3. In the Contract Division drop-down box, select the appropriate Division of Work.

   The form refreshes.
4. In the Action drop-down menu, select the action you would like to take: **Modify an existing Schedule of Work Completed Line Item**.

   The form refreshes.

5. In the **Schedule of Work Completed line item to modify** drop-down box, from the list displayed, select the Schedule of Work Completed line item you would like to modify.

   The form refreshes.

6. In the **New Values** column, enter the new value you would like for the line item.

7. Click the **Refresh** button.

   The amount is reflected in the Over (+) or Under (-) Contract line of the form.

   The new values will be computed and updated, and will show that this item will be billed out by the additional amount, if the modification is approved. The total is a running balance for the contractor, so they know where they are at relative to the contract.

   NOTE: This modification process does not change the contract total, but merely moves money around. Only approved Change Orders can change a contract total.

8. Click the **Save Modification document** button.

   The SWC Modifications pending view appears.

9. Repeat steps 1-8 to add the line item(s) that will also be modified, in order to transfer money to or from a line item.

10. In the **Schedule of Work Completed line item to modify** drop-down box, from the list displayed, select the Schedule of Work Completed line item you would like to transfer the value to.

    —Or—

    Create a new **Spec Section** by typing in its number and **Payment Item** name in the blanks provided.

11. If the adjustment will go to a subcontractor, select the appropriate subcontractor from the **Subcontractor/Vendor/Supplier** drop-down list.

    IMPORTANT NOTE: If this is a new Subcontractor/Vendor/Supplier, the Subcontractor/Vendor/Supplier must have been approved and the Contractor Information and Schedule of Values for that Subcontractor/Vendor/Supplier must be available in PRZM prior to creation of any modifications to the Schedule of Work Completed.

12. In the **New Values** column, enter the new value you would like for the line item.

13. Click the **Refresh** button.

    The amount is reflected in Scheduled Values section, and the Over (+) or Under (-) Contract line is modified to zero on the form.

    The new values will be computed and updated, and will show that this item will be billed out by the additional amount, if the modification is approved. The total is a running balance for the contractor, so they know where they are at relative to the contract.

14. Click on the **Save Modification document** button.

    The document closes and the SWC Modifications - Pending view is displayed.

15. The first approver (generally, the Architect/Engineer) will be notified via the event notice.

    NOTE: SWC Line items [for the affected Division(s)] cannot be edited when there is a modification approval list that is pending approval in the system. The approval process is the same as other approvals (forward/backward).

You may create a new SWC Line item, if necessary. If you will designate the line item for a new subcontractor, that company must be:

Registered with VSA and must have completed the following tasks in PRZM prior to creation of a new SWC Line item:

- Create a Contractor Information document
- Create a Contractor's Schedule of Values (CSV).
- Submit a CSV which has subsequently been approved.

To Add a New SWC Line Item:

1. In the navigator click on the twisty next to **Cntr paymts/Closeout.**
2. Under Create, click on **SWC Modification**.

   A new SWC Modification form appears.
3. In the Contract Division drop-down box, select the appropriate Division of Work.

   The form refreshes.
4. In the **Action** drop-down menu, select the action you would like to take: **Create a new Schedule of Work Completed Line Item**.

   The form refreshes.
5. Create a new **Spec Section** by typing in its number and **Payment Item** name in the blanks provided.
6. If the adjustment will go to a subcontractor, select the appropriate subcontractor from the **Subcontractor/Vendor/Supplier** drop-down list.

   IMPORTANT NOTE: If this is a new Subcontractor/Vendor/Supplier, the Subcontractor/Vendor/Supplier must have been approved and the Contractor Information and Schedule of Values for that Subcontractor/Vendor/Supplier must be available in PRZM prior to creation of any modifications to the Schedule of Work Completed.
7. In the **New Values** column, enter the new value you would like for the line item.
8. Click the **Refresh** button.

   The amount is reflected in Scheduled Values section, and the Over (+) or Under (-) Contract line is modified to zero on the form.

   The new values will be computed and updated, and will show that this item will be billed out by the additional amount, if the modification is approved. The total is a running balance for the contractor, so they know where they are at relative to the contract.
9. Click on the **Save Modification document** button.

   The document closes and the SWC Modifications - Pending view is displayed.
10. Once all SWC line item modifications have been made, create the SWC Modification Approval List, below.

    NOTE: If you forget to create the SWC Approval list, the modifications will not be submitted for approval.

Creating the SWC Modification Approval List:

1. In the navigator click on the twisty next to **Cntr paymts/Closeout.**
2. Under Create, click on **SWC Mod Approval.**

   A new SWC Modification form appears.
3. In the **Contract Division** drop-down box, select the appropriate Division of Work.

   The form refreshes.
4. If the modification changes any of the MAFBE subcontractors' amounts and percentages, note that saving this form affirms that you have obtained permission for these changes with the following message.

   ```
   If the above modification to the SWC includes a change in the CMS
   MAFBE certified Subcontractors/Vendors/Suppliers, by submitting
   for Approval I acknowledged that UOCP Approval for the change has
   been obtained.
   ```
5. Click on the **Save SWC Modification Approval List** button.

   The document closes and the SWC Modifications Approval List view is displayed.
6. The first approver (generally, the Architect/Engineer) will be notified via the event notice.

   NOTE: SWC Line items [for the affected Division(s)] cannot be edited when there is a modification approval list that is pending approval in the system. The approval process is the same as other approvals (forward/backward).

Approving a Schedule of Work Completed Modification:

1. Login to PRZM as usual.
2. On your Dashboard, in the My Action Items section, you will see a list of Schedule of Work Completed modifications awaiting your approval.
3. Click on the document icon, which is a link, to go to the Schedule of Work Completed Modification document.

   The Schedule of Work Completed Modification Approval List opens.
4. Click on the **Edit** button.

   The document refreshes.
5. On the Approval line, click on the one radio button which indicates if you approve the modification:
   - Yes
   - No
   - Pending
6. Click on the Save **SWC Modification Approval List** button.

   If you clicked Yes, the approval goes on to the next approver (and that person will receive an email notification).

NOTE: If the first approver rejects the SWC Modification approval list then that approval list is dead and the contractor would need to make any adjustments noted in the comments and resubmit a new SWC Modification approval list for approval.

If you clicked No, the modification is sent back to the approver before you, or to the originator of the modification (if you are the first approver).

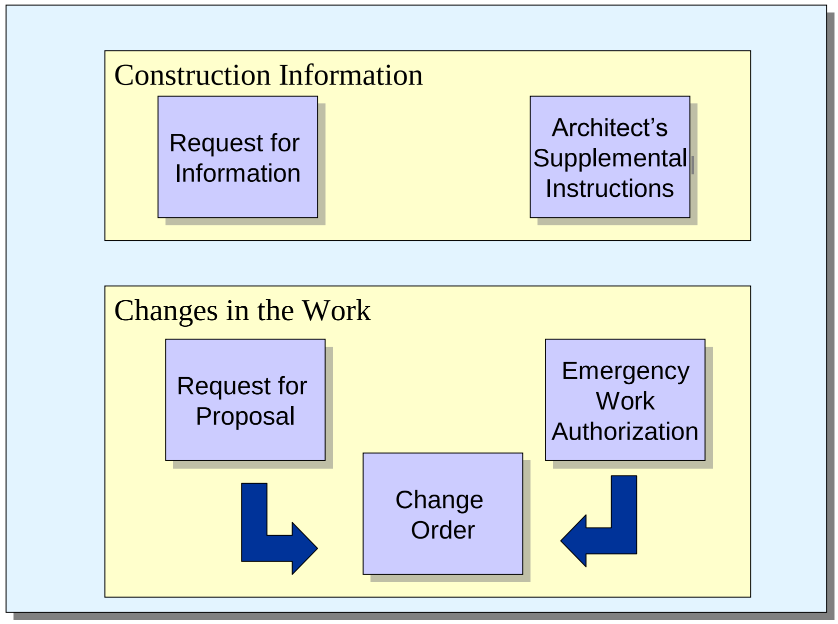
If you clicked Pending, the approval list is awaiting your decision and will not move forward or backward until you make your decision.

Approvals for the Schedule of Work Completed Modification

Approvals for the Schedule of Work Completed Modification follow the same process as those for a Schedule of Work Completed. If the Modification was created by an Assigned Sub-Contractor, then the first approver would be the Contractor with Assigned Sub-Contractors. Otherwise, the first approver is the Architect/Engineer (unless the project is administered by a Construction Manager, in which case, the CM would be the first approver).

NOTE: If a Modification is rejected, it returns to the Contractor through the approvals path, in reverse.

Creating Construction Information Documents



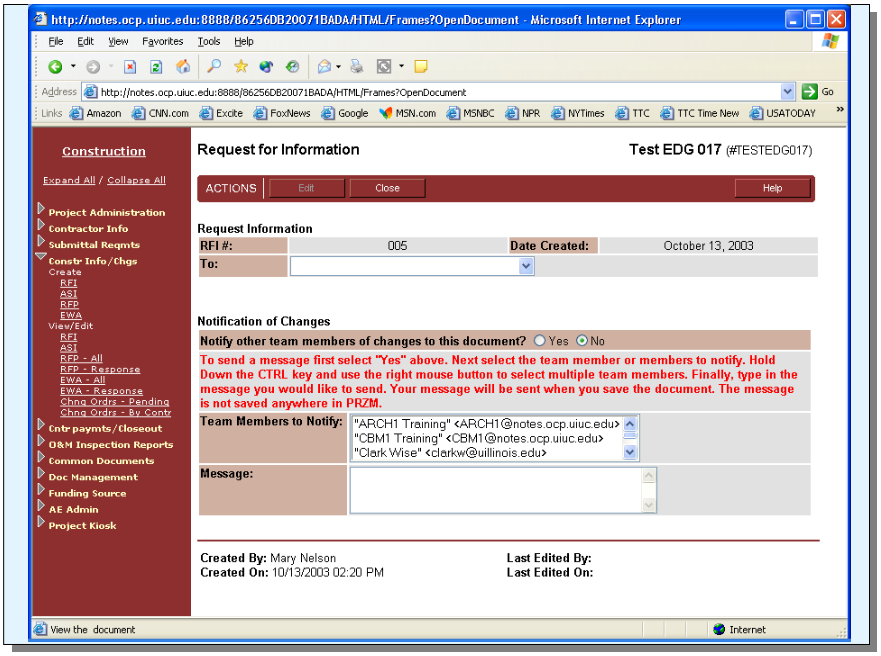
Throughout the Construction phase, the project manager, architect/engineer, and contractors communicate formally using several construction information documents. In PRZM, these construction information documents include the following:

- Requests for Information (RFI)
- Architect's Supplemental Instructions (ASI)
- Emergency Work Authorizations (EWA)
- Requests for Proposal (RFP)
- Change Orders

The procedures for creating, viewing, responding, and approving each of these documents follows.

Charts for the workflow for each type of construction information document are shown with the topic.

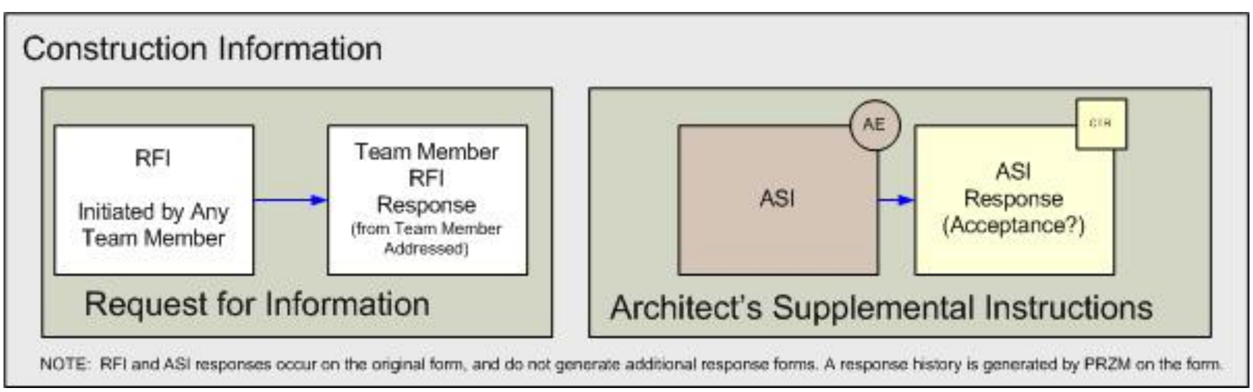
The Request for Information (RFI)



• The Request for Information document, in edit mode.

The Request for Information (RFI) form records the question and answer process between team members. Any team member may submit a Request for Information to another team member. The RFI should be construction-specific and usually involves a clarification of some type of construction activity.

Construction Information Documents Workflow



The person initiating a construction information document, whether Request for Information or Architect's Supplemental Instructions, may require a response. If a response is required, the person addressed will respond from the original document.

An RFI sent directly to, or forwarded to, a Contractor or Professional Service Consultant (AE or CM) team member can be edited by another team member from the same firm. The associated event notice will still go only to the intended team member.

To Create a New RFI:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **Create**, click **RFI**.

   A new RFI document opens in Edit mode.

   ▸ **Note:** The **RFI#** is supplied by PRZM.
3. In the **To** field, from the drop-down box, select the individual your question is directed to.

   The RFI refreshes and displays more fields.

   The **From** field refreshes to display your name.
4. In the Response Requested by field, type the date, or use the Date Selector to select a date by which you hope to have a response.
5. If your question relates to a drawing, supply the drawing designation in the **Drawing #** field.
6. In the **Detail #** field, as an option, enter the detail number from the above drawing.
7. In the **Request** field, record your question in the box.
8. If you have a recommended solution to share with others receiving the RFI, record it in the **Recommended Solution** field.
9. In the **Attach File Here** field, attach any documents to this form that support your question or solution by entering the file location in the box provided. You may also use the **Browse** button to locate the file.

   Your attachment(s) will be saved as part of the document.
10. If you wish to notify others of this RFI, in the Notification of Changes section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.
11. In the **Team Members to Notify** field, select the names of those you wish to notify. To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.
12. In the **Message** field, type the message you wish to accompany the notification.
13. When complete, click the **Save Request for Information** button to save your work.

To Respond to this RFI:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **RFI**.

   A list of RFIs appears.
3. Select the appropriate RFI.

4. Review the request, the proposed solution, and any supporting documentation, if provided.
5. In the **Response** section, select your name from the pull-down box, enter the date and give a response in the text box provided.
6. If you believe that this response completes this RFI, select "Complete" in the **RFI Response** field.
7. Click the **Save Request for Information** button to save your work.

Forwarding an RFI

An Assigned Subcontractor can only send an RFI to a Contractor with Assigned Subs team member. But a Construction Manager (CM) and a Non-Assigned Contractor can only send an RFI to a CM team member. In these instances the Construction Manager or the Contractor with Assigned Subs will see an option to forward the RFI, should that be necessary. When they select that option the form refreshes and displays a dropdown menu listing all of the team members.

To Forward the RFI to Another Team Member:

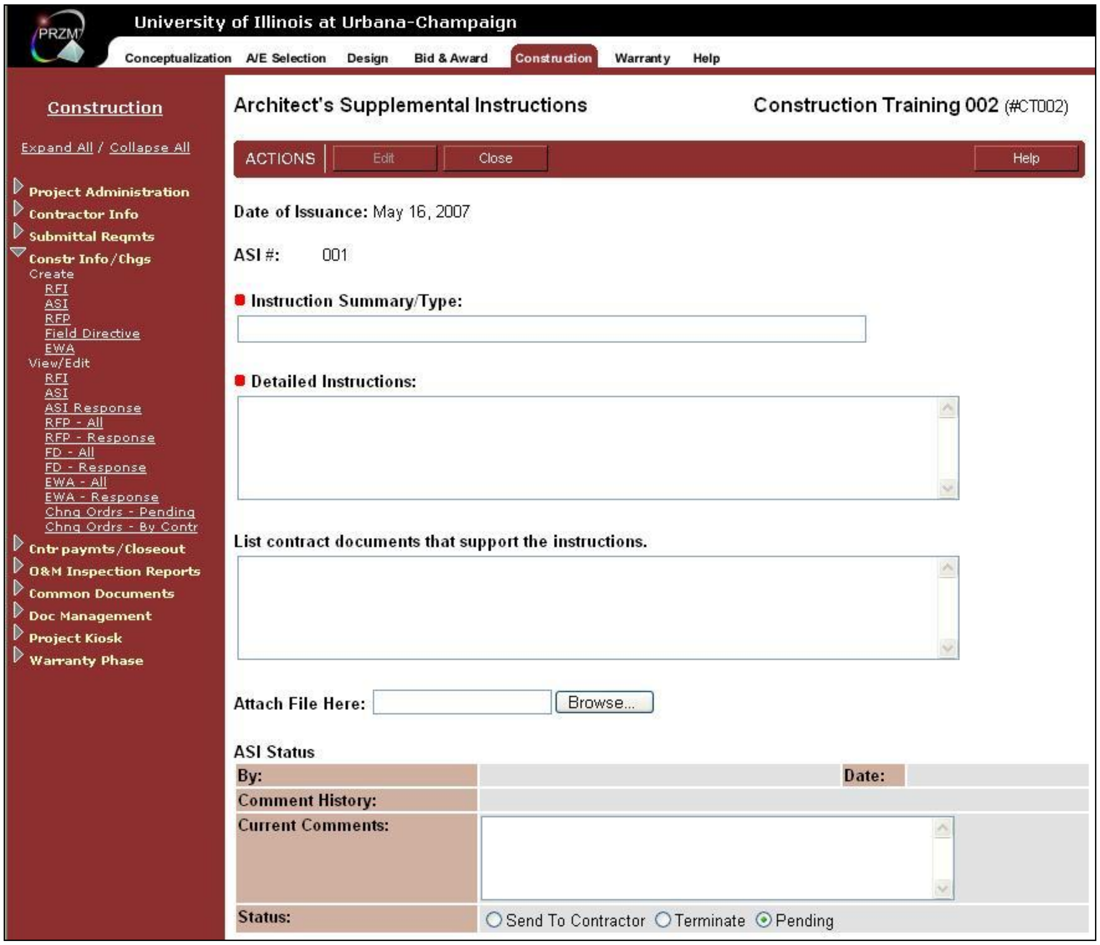
1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **RFI**.

   A list of RFIs appears.
3. Select the appropriate RFI.
4. Review the request, the proposed solution, and any supporting documentation, if provided.
5. In the **RFI Response** section, to forward the RFI to another team member, under RFI status, click the **Forward** radio button.

   The form refreshes.
6. In the RFI Response section, in the Forward To section, select the name of the from the dropdown menu, enter the date and give a response in the Current Response Comments text box provided.
7. Click the **Save Request for Information** button to save your work.

   The RFI is forwarded to the selected team member.

The Architect's Supplemental Instructions (ASI)



• The Architect's Supplemental Instructions document, in edit mode, as seen by the Architect.

The Architect's Supplemental Instructions (ASI) is a formal document that directs the contractor to perform some action in the field with no change in contract sum or contract time. This document is authored by the Architect/Engineer and is reviewed and accepted or rejected by the contractor.

Creating an ASI

Those involved with an ASI, and its approval sequence, depends on the contractual relationship of the contractor to the owner.

AE to Non-Assigned Subcontractors

The AE creates the ASI, completes the required fields, selects the divisions and designates when the ASI is ready for the Contractors. The AE retains edit rights over the ASI at all times.

AE to Contractor with Assigned Subcontractors

The AE creates the ASI and completes the required fields. The AE can not select the applicable Divisions. When the AE designates that the ASI is ready to send to the Contractor for their review the Contractor with assigned Subcontractors is notified and becomes the editor of the ASI. The Contractor with Assigned Subcontractors can select the applicable Divisions and designate that the ASI is ready to send to the contractors or the Contractor with Assigned Subcontractors can reject the ASI in which case the AE is notified and becomes the editor of the ASI again otherwise the Contractor with Assigned Subcontractors retains edit rights.

AE to CM

The AE creates the ASI and completes the required fields. The AE cannot select the applicable Divisions. When the AE designates that the ASI is ready to send to the CM for their review the CM is notified and becomes the editor of the ASI. The CM can select the applicable Divisions and designate that the ASI is ready to send to the contractors or the CM can reject the ASI in which case the AE is notified and becomes the editor of the ASI again otherwise the CM retains edit rights.

To Create an ASI:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

   The Create and View/Edit options appear.

2. Under **Create**, click **ASI**.

   ▸ **Note:** The **ASI#** is supplied by PRZM.

3. In the **Instruction Summary/Type** field, enter a title for this ASI (e.g., “Window caulking instructions”).
4. Provide detailed instructions in the **Detailed Instructions** field.
5. In the **List contract documents that support the instructions** field, elaborate on how the attachments support your instructions or list any relevant documentation.
6. In the **Attach File Here** field, attach your documents to this form by entering the location of the file in the box provided. You may also use the **Browse** button to locate the file.

   Your attachments will be saved as part of the document.

7. In the ASI Status section of the document, in the **Current Comments** field, you may provide comments on the status of the ASI. The rest of this section will be automatically generated by PRZM once the document is saved.
8. When you are ready to route the ASI, in the Status field, click in the radio button next to **Send to Contractor**.
9. If this is a Construction Manager (CM) project, in the **Status** field, select the radio button next to **Send to CM**. This option notifies the Construction Manager of the ASI and prior to contractor notification. The Construction Manager routes the ASI to the appropriate contractor.

   ▸ **Note:** This option will not be available if there is no Construction Manager on the job.

10. If you wish to notify others of this ASI, in the Notification of Changes section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.
11. Select the names of the team members to be notified.

    ▸ **Note:** This To select more than one name, hold down the <Ctrl> key while clicking.

12. Click the **Save ASI** button to save your work.

Responding to an ASI

Regardless of the ASI form that is used, the Contractor Response within PRZM is the same.

Once the selected Contractors are notified that an ASI is ready for their response, they will see a button on the ASI form to Create an ASI Response. They can only create one response for a given division of work. The response options are the same as before (Accept, Not Accept, Additional Instructions Necessary). The associated event notice will go back to the individual team member that designated the ASI was ready for the Contractor response. Each contractor retains edit rights over their own ASI Response documents.

To Respond to an ASI:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

   The Create and View/Edit options appear.

2. Under **View/Edit**, click **ASI**.

   A list of ASIs appears.

3. Select the appropriate ASI from the list of documents in the main PRZM window.
4. Review the information in the ASI.
5. To respond, click the **Create an ASI Response** button.

   An ASI Response form opens.

6. In the **Status** box, choose whether you *Accept*, do *Not Accept*, or require *Additional Instructions* from the A/E.

   ▸ **Note:** The Accepted By and Date fields will port in automatically.

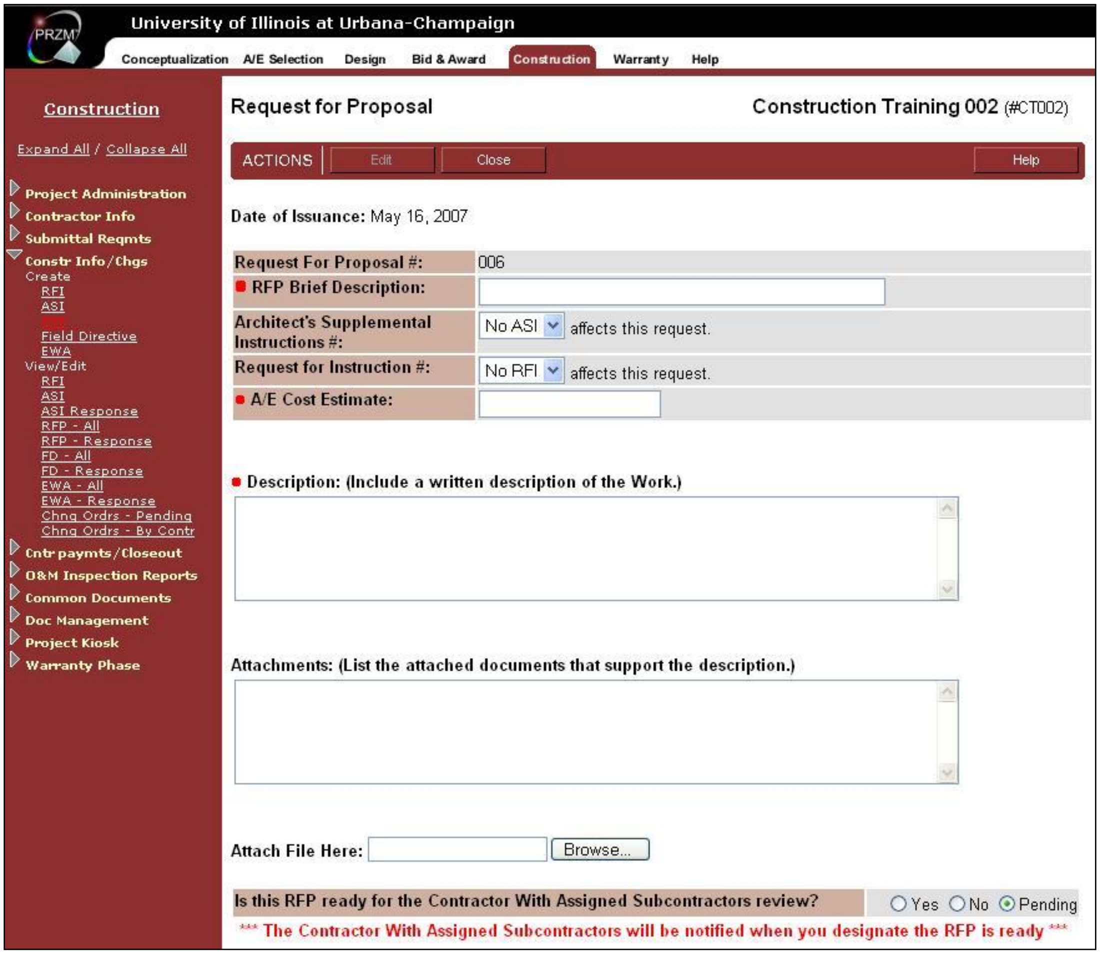
7. In the **Current Comments** box, add comments as necessary or desirable.
8. Click the **Save ASI Response** button to save your work.

A summary of responses, with links to individual responses, appears on the original ASI, for the convenience of approvers, as illustrated below. This summary will also appear in the ASI Response view.

Contractor Responses

Date	To	Division	Status
10/10/2006	Lake Shore Glass	Division 35 - Windows/Entrances Work	Accept
10/10/2006	Contractors Corporation	Division 45 - Ed's Division	Not Accept
10/10/2006	Premier Mechanical Inc	Division 03 - Heating, Piping, Refrigeration, and Temperature Control Work	Accept
10/10/2006	Joseph Construction Co	Division 01 - General Work	Not Accept

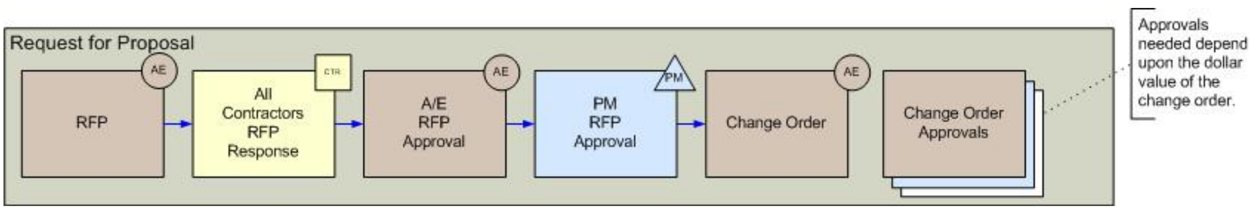
The Request for Proposal (RFP)



Occasionally, it is necessary to change the work described in the contract documents or consider new work necessary to complete the requirements for the project. When changes in the work are called for, the Architect/Engineer prepares a request for proposal (RFP) to describe the specifics of the particular change.

Requests for Proposal

When the Architect/Engineer initiates a Request for Proposal document, all contractors must respond, whether they are affected or not, to communicate whether they are affected and to respond with a proposal, as necessary. The workflow for an RFP, which, when successful, will result in a change order, is as follows:



To learn more about change orders, see that topic, following.

To Create an RFP:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **Create**, click **RFP**.

   A new RFP document opens in Edit mode.

   ▸ **Note:** The **RFP#** is supplied by PRZM.
3. In the **RFP Brief Description** field, describe the RFP (e.g., "provide caulking for windows on 4th floor").
4. If an RFI or ASI preceded this particular RFP, enter the appropriate designation in the **Architect's Supplemental Instructions #** and **Request for Instruction #** fields.
5. In the **A/E Cost Estimate** field, enter your cost estimate value.

   ▸ **Note:** This number is seen only by the A/E and the PM.
6. [*Construction Manager Version Only*] In the **Divisions of Work** field, select the divisions to whom to send the RFP.

   ▸ **Note:** [*Standard Build Only*] The RFP will be broadcast to all contractors, and the Divisions of Work field will not be available.
7. Include a detailed description of the work being contemplated on the RFP in the **Description** field. Your description should contain sufficient information so that the contractor can understand the specific impact this RFP may have on his division of work.
8. In the **Attachments** field, list documents that have been prepared to support and/or detail the change in the work.
9. In the **Attach File Here** field, attach your documents to this form by entering the location of the file in the box provided. You may also use the **Browse** button to locate the file.

   Your attachments will be saved as part of the document.

   Indicate whether this RFP is ready for contractor response by selecting *Yes*, *No*, or *Pending* in the **Is this RFP ready for Contractor(s) response** field.
   If you wish to notify others of this RFI, in the Notification of Changes section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

   ➢NOTE: When there is a Contractor with Assigned Subcontractors, the Architect/Engineer prepares the RFP and indicates that it is ready for the Contractor with Assigned Subcontractors to add dates for the subcontractors' submissions. Once the Contractor with Assigned Subcontractor has added those dates, the RFP is broadcast to all subcontractors for their responses. When there is a Construction Manager, the A/E prepares the RFP and indicates that it is ready for the Construction Manager. The Construction Manager edits the RFP, selects the affected Divisions of Work, and the RFP is broadcast to the affected contractors for their responses.
10. In the **Team Members to Notify** field, select the names of those you wish to notify. To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.
11. In the **Message** field, type the message you wish to accompany the notification.

12. When complete, click the **Save Request for Proposal** button.

    When the RFP is saved, PRZM automatically sends an e-mail to all contractors on the project indicating that an RFP has been placed in the RFP view. It is then up to each individual contractor to determine whether the RFP affects his or her division of work and to respond either yes or no. See the next procedure.

Workflow of RFPs for Contractors with Assigned Subcontractors

When a contractor with assigned subcontractors submits an RFP, it is essential for all team members to understand the flow of work. This workflow is summarized below.

1. The Architect/Engineer (AE) starts the process by creating an RFP and designating that it is ready for the contractors. When the AE saves the RFP, each Division of Work Contractor is notified.

2. A team member for each Division of Work views the RFP and uses the button on the RFP form to create an RFP Response document.

3. The Assigned Subcontractor team member filling in the RFP Response designates whether or not the Division is affected by the RFP. If it is affected, the RFP Response form refreshes and the team member completes the break down and designates that it is ready for approval. When the team member saves the Response document (designated ready for approval, PRZM notifies the Contractor that it is ready for approval.

> ➢**NOTE:**
>
> Projects that were active as of July 22, 2010 may now enter zero cost RFP Responses.

4. The RFP Response for the Contractor with Assigned Subcontractors includes his own affected break down table (if applicable), a summary view of all Assigned Subcontractor responses, a list of all Assigned Subcontractors that have not responded and a summary table of the totals for the existing RFP Responses. If the Grand Total is not equal to zero the Contractor With Assigned Subcontractors submits their RFP Response for approval by the AE and the PM.

5. When the PM approves the Contractor with assigned Subcontractor's RFP Response, the Change Order (CO) is automatically created. The CO lists the entire contract. The PM completes the CO and designates it is ready for approval. The Campus Business Manager (CBM) is notified.

6. The CBM approves the CO and the AE is notified to print the CO and route for signatures.

7. When the signed copy is received by the UI business office, the CBM goes into PRZM, edits the CO and appends the CO to the SWC line items. A SWC line item is created for all affected Divisions of Work. The CO is considered "fully executed" at this point and now appears in the Approved CO view.

   ➢NOTE: When a Contractor with Assigned Subcontractors is involved, after the A/E creates the RFP it is routed to that Contractor first, so that dates for response may be entered. Once the Contractor with Assigned Subcontractors assigns those dates, the RFP is broadcast to all assigned subcontractors.

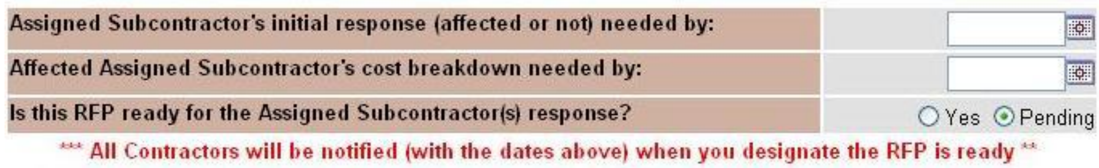
To Add Dates to an RFP:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

2. Under **View/Edit**, click **RFP - All**.

   A list of RFP items displays.

3. Select the appropriate RFP from the list of documents in the main PRZM window.
4. Click the **Edit** button to put the RFP in edit mode.
5. Scroll down the RFP to the following section.



6. Enter the date by which the assigned subcontractor should create the initial response.
7. Enter the date by which the assigned subcontractor should create the cost breakdown
8. In the "Is this RFP ready for the Assigned Subcontractor(s) response?" area, click on the **Yes** radio button.
9. When complete, click the **Save Request for Proposal** button.

   When the RFP is saved, PRZM automatically sends an e-mail to all subcontractors on the project indicating that an RFP has been placed in the RFP view. It is then up to each individual contractor to determine whether the RFP affects his or her division of work and to respond either yes or no.

RFP Responses

Contractors fill out a Request for Proposal Response form in response to each individual RFP item.

Note: *Contractors should fill this form out even if they are not affected by this RFP*.

To Respond to an RFP (All Contractors):

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **RFP - All**.

   A list of RFP items displays.
3. Select the appropriate RFP from the list of documents in the main PRZM window.

   The RFP appears in a non-editable form and at the bottom of the form is a Create RFP Response button.
4. Click the **Create RFP Response** button.

   A new Request for Proposal Response form appears.
5. *If you are **not** affected by this Request for Proposal*:
   a. In the **Are you affected by this Request for Proposal** field, select **No**.
   b. Scroll to the bottom of the form, and click the **Save Request for Proposal Response** button.

      No further action on your part is necessary.

   *If you **are** affected by the Request for Proposal*:
   a. In the **Are you affected by this Request for Proposal** field, select **Yes**.

b. In the **Summary of Detailed Breakdown** table, enter the information on your estimate in a manner that is consistent with the reviews by the Architect/Engineer and the Project Manager. Provide information on additions and deletions to material, labor, and other costs associated with work that is specific to your contract.

c. Click the **Calculate Values** button to provide the net total of those values and calculate the overhead and profit.

d. In the **Contractors Markup on Work of Subcontractors** table, enter the subcontractor's name and contract work associated with this RFP.

e. Click the **Calculate Values** button to provide the net total of those values.

➢NOTE:

Projects that were active as of July 22, 2010 may now enter zero cost RFP Responses.

▸ **Note:** If there is a change in the work that actually shrinks the scope (for example, only paint 400 instead of 500 feet), then the contractor would reduce his portion of the work accordingly.

f. In the **Proposal** table is a summary of the detailed breakdown and the subcontractor breakdown. Enter a percentage value that represents insurance, bond, and any applicable taxes.

g. Click the **Calculate Values** button to generate the total RFP value that you will submit to the Architect/Engineer for review.

h. In the **Attach RFP price backing materials** field, attach an electronic file containing your estimates and/or your subcontractors' estimates that provide the detail for the dollar values listed in the tables above. Attach your documents to this form by entering the location of the file in the box provided. You may also use the **Browse** button to locate the file.

Your attachments will be saved as part of the document.

i. On the next line, select from the radio buttons whether this proposal will *increase*, *decrease*, or *not change* the contract amount.

▸ **Note:** You can enter a value in the Deletions column in the ‘Summary of Detailed Breakdown’ section on the RFP Response form or you can enter a negative value in the ‘Contractor's Markup On Work Of Subcontractors’ section of the RFP Response form. If both are necessary, you can enter values in both sections.

j. If you selected increase or decrease, in the previous step, enter the number of days greater than zero.

k. Indicate whether your response to the RFP is complete and give the date completed.

l. Click the **Save Request for Proposal Response** button to save the document.

m. A notice will automatically be sent to the first approver.

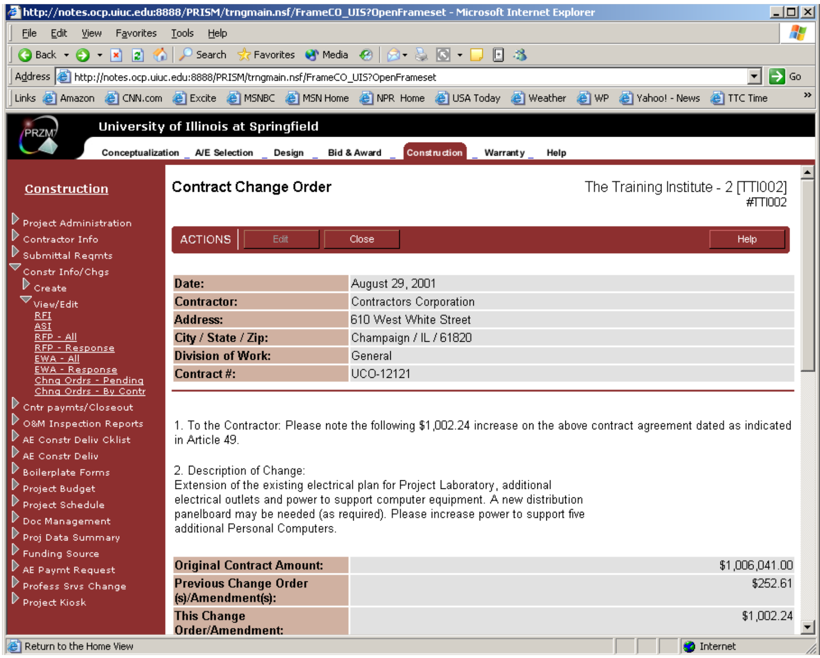
This document may be accessed in the RFP – Response view.

Instructions for the Approvers (Contractor with Assigned Subcontractors, Construction Managaer, Architect/Engineer, Project Manager):

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **RFP – Response**.

3. Select the appropriate RFP Response document from the list of documents in the main PRZM window.
4. Click the **Edit** button.
5. Evaluate the RFP Response.
6. Indicate your approval by checking **Yes** or **No**.
7. Click the **Save RFP Response** button to save the document.

The Contract Change Order



A change order is automatically generated when the last approver saves either a Request for Proposal (RFP) Response document or an Emergency Work Authorization (EWA) Response document. The Project Manager must also edit the Change Order in order to note whether the change has an impact on the project's scope. He must also classify the Change Order.

Change Order Process Summary:

1. The Architect/Engineer (AE) creates the RFP and designates that it is ready for the Construction Manager, Contractor with Assigned Subcontractors, or Unassigned Contractors, depending upon the project's agreements.

2. If applicable, once the Construction Manager or Contractor with Assigned Subcontractors completes the RFP, the Division of Work Contractors are notified by email the RFP is saved.

3. A team member for each Division of Work views the RFP and uses the button to create an RFP Response.

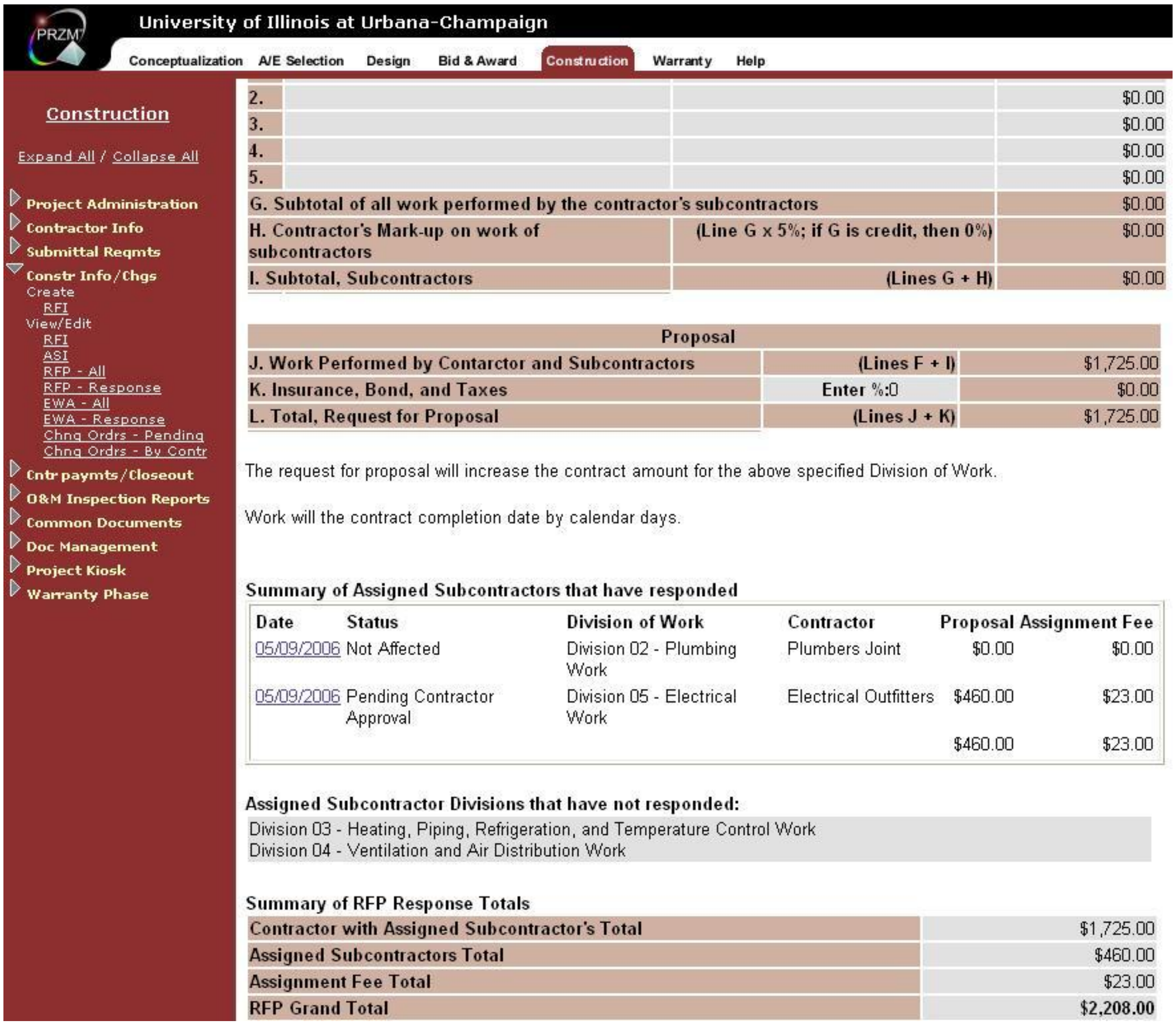
4. When an Assigned Subcontractor team member fills in the RFP Response, he or she designates whether or not the Division is affected by the RFP. If they are affected and select the Yes radio button, the form refreshes and the team member completes the break down and designates that it is ready for approval.

5. Once the Assigned Subcontractor saves the form, the Contractor with Assigned Subcontractors is notified by email to approve it.

6. The RFP Response for the Contractor with Assigned Subcontractors includes the affected break down table (if applicable), a summary view of all Assigned Subcontractor responses, a list of all Assigned Subcontractors that have not responded and a summary table of the totals for the existing RFP Responses. If the Grand Total is not equal to zero

the Contractor With Assigned Subcontractors submits their RFP Response for approval by the AE and the Project Manager.

An example of this form as it appears to the Contractor with Assigned Subcontractors appears below: Note that the table pulls together all subcontractors' amounts, including unaffected subcontractors. Subcontractors who have not responded yet are listed in a separate section, so that the Contractor with Assigned Subcontractors can review the RFP's progress.


University of Illinois at Urbana-Champaign

Conceptualization A/E Selection Design Bid & Award Construction Warranty Help

Construction

Expand All / Collapse All

Project Administration
Contractor Info
Submittal Reqmts
Constr Info/Chgs
Create
RFI
View/Edit
RFI
ASI
RFP - All
RFP - Response
EWA - All
EWA - Response
Chng Ordrs - Pending
Chng Ordrs - By Contr
Cntr paymts/Closeout
O&M Inspection Reports
Common Documents
Doc Management
Project Kiosk
Warranty Phase

2.			$0.00
3.			$0.00
4.			$0.00
5.			$0.00
G. Subtotal of all work performed by the contractor's subcontractors			$0.00
H. Contractor's Mark-up on work of subcontractors		(Line G x 5%; if G is credit, then 0%)	$0.00
I. Subtotal, Subcontractors		(Lines G + H)	$0.00

Proposal		
J. Work Performed by Contarctor and Subcontractors	(Lines F + I)	$1,725.00
K. Insurance, Bond, and Taxes	Enter %:0	$0.00
L. Total, Request for Proposal	(Lines J + K)	$1,725.00

The request for proposal will increase the contract amount for the above specified Division of Work.

Work will the contract completion date by calendar days.

Summary of Assigned Subcontractors that have responded

Date	Status	Division of Work	Contractor	Proposal	Assignment Fee
05/09/2006	Not Affected	Division 02 - Plumbing Work	Plumbers Joint	$0.00	$0.00
05/09/2006	Pending Contractor Approval	Division 05 - Electrical Work	Electrical Outfitters	$460.00	$23.00
				$460.00	$23.00

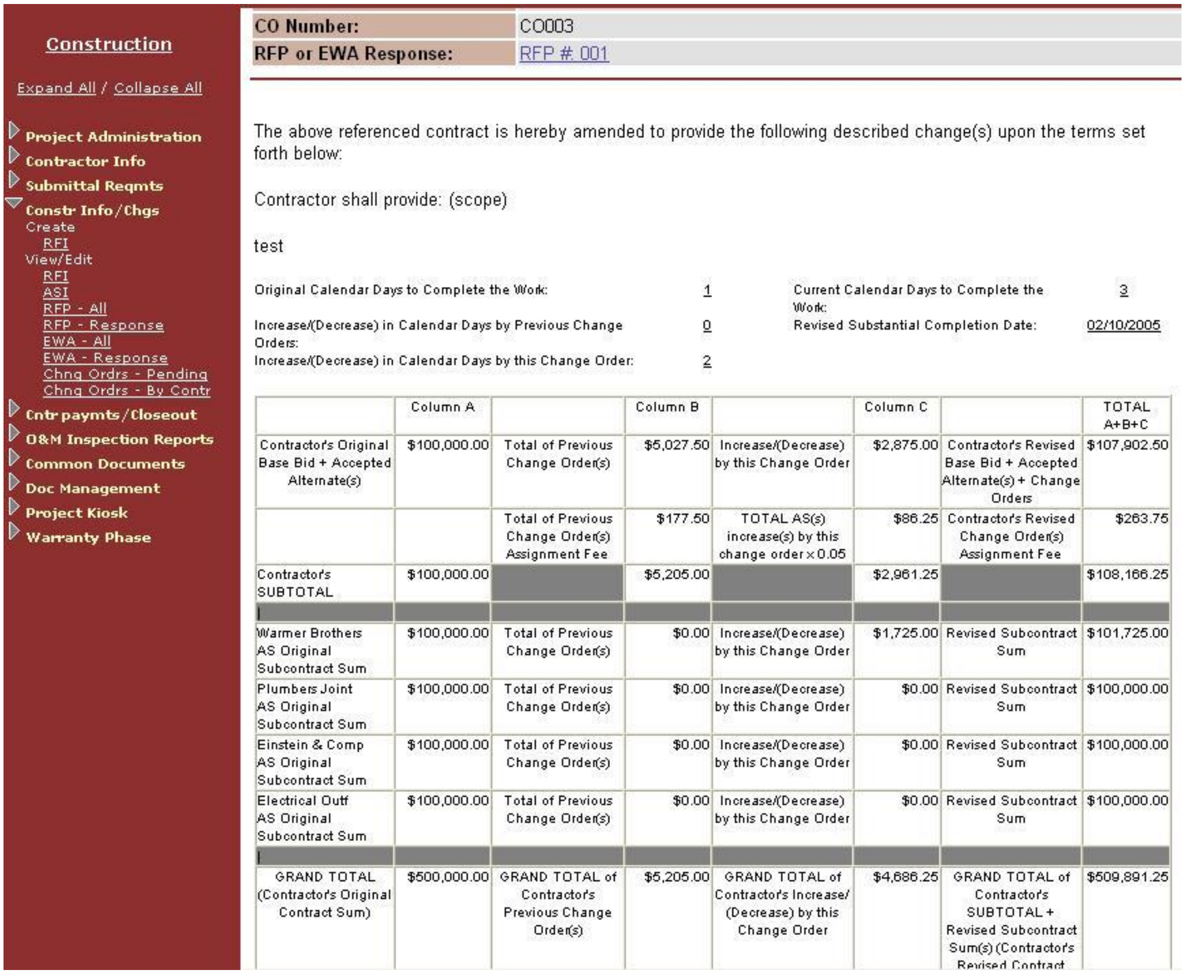
Assigned Subcontractor Divisions that have not responded:

Division 03 - Heating, Piping, Refrigeration, and Temperature Control Work
Division 04 - Ventilation and Air Distribution Work

Summary of RFP Response Totals

Contractor with Assigned Subcontractor's Total	$1,725.00
Assigned Subcontractors Total	$460.00
Assignment Fee Total	$23.00
RFP Grand Total	$2,208.00

7. When the Project Manager approves the Contractor with Assigned Subcontractor's RFP Response, the Change Order form is created. The Change Order lists the entire contract, as illustrated below.


Construction

Expand All / Collapse All

- Project Administration
- Contractor Info
- Submittal Reqmts
- Constr Info/Chgs
  - Create
    - RFI
  - View/Edit
    - RFI
    - ASI
    - RFP - All
    - RFP - Response
    - EWA - All
    - EWA - Response
    - Chng Ordrs - Pending
    - Chng Ordrs - By Contr
- Cntr paymts/Closeout
- O&M Inspection Reports
- Common Documents
- Doc Management
- Project Kiosk
- Warranty Phase

CO Number:	CO003
RFP or EWA Response:	RFP # 001

The above referenced contract is hereby amended to provide the following described change(s) upon the terms set forth below:

Contractor shall provide: (scope)

test

Original Calendar Days to Complete the Work:	1	Current Calendar Days to Complete the Work:	3
Increase/(Decrease) in Calendar Days by Previous Change Orders:	0	Revised Substantial Completion Date:	02/10/2005
Increase/(Decrease) in Calendar Days by this Change Order:	2		

	Column A		Column B		Column C		TOTAL A+B+C
Contractor's Original Base Bid + Accepted Alternate(s)	$100,000.00	Total of Previous Change Order(s)	$5,027.50	Increase/(Decrease) by this Change Order	$2,875.00	Contractor's Revised Base Bid + Accepted Alternate(s) + Change Orders	$107,902.50
		Total of Previous Change Order(s) Assignment Fee	$177.50	TOTAL AS(s) increase(s) by this change order x 0.05	$86.25	Contractor's Revised Change Order(s) Assignment Fee	$263.75
Contractor's SUBTOTAL	$100,000.00		$5,205.00		$2,961.25		$108,166.25
|							
Warmer Brothers AS Original Subcontract Sum	$100,000.00	Total of Previous Change Order(s)	$0.00	Increase/(Decrease) by this Change Order	$1,725.00	Revised Subcontract Sum	$101,725.00
Plumbers Joint AS Original Subcontract Sum	$100,000.00	Total of Previous Change Order(s)	$0.00	Increase/(Decrease) by this Change Order	$0.00	Revised Subcontract Sum	$100,000.00
Einstein & Comp AS Original Subcontract Sum	$100,000.00	Total of Previous Change Order(s)	$0.00	Increase/(Decrease) by this Change Order	$0.00	Revised Subcontract Sum	$100,000.00
Electrical Outf AS Original Subcontract Sum	$100,000.00	Total of Previous Change Order(s)	$0.00	Increase/(Decrease) by this Change Order	$0.00	Revised Subcontract Sum	$100,000.00
|							
GRAND TOTAL (Contractor's Original Contract Sum)	$500,000.00	GRAND TOTAL of Contractor's Previous Change Order(s)	$5,205.00	GRAND TOTAL of Contractor's Increase/(Decrease) by this Change Order	$4,686.25	GRAND TOTAL of Contractor's SUBTOTAL + Revised Subcontract Sum(s) (Contractor's Revised Contract	$509,891.25

8. The Project Manager completes the Change Order and designates that it is ready for approval.

9. Once the Project Manager has completed the Change Order and saved it, the Campus Business Manager is notified by email that it is ready for his approval.

10. The Campus Business Manager approves the Change Order.

11. After the Campus Business Manager approves the Change Order, the AE is notified to print the completed Change Order and route it for signatures.

12. When the signed copy is received by the UI business office the Campus Business Manager goes into PRZM, edits the Change Order and appends the Change Order to the SWC line items. A SWC line item is created for all affected Divisions of Work. The Change Order is considered "fully executed" at this point and now appears in the Approved Change Order view.

Instructions for the Campus Business Manager:

Approving Contract Change Orders:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

   The Create and View/Edit options appear.

2. Under **View/Edit**, click **Chng Ordrs - Pending**.
3. Select the appropriate Change Order from the list of documents in the main PRZM window.
4. Click the **Edit** button.
5. Review the Change Order document.
6. Indicate your approval by checking **Yes** or **No**.
7. Click the **Save Change Order** button to save the form.

   ➢NOTE: A notice to print is sent to the Architect/Engineer.

Appending Contract Change Orders to the Schedule of Work Completed:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

   The Create and View/Edit options appear.

2. Under **View/Edit**, click **Chng Ordrs - Pending**.
3. Select the appropriate Change Order from the list of documents in the main PRZM window.
4. Click the **Edit** button.
5. Under Append to SWC, select the **Yes** option.
6. Save the document.

Field Directives

Using Field Directives (FDs)

On March 26, 2007, the University Office of Capital Programs and Real Estate Services made changes to the University's Construction Contract Documents which were implemented in version 1.3 of the University's Contract Document System (CDS). These changes are intended to incorporate recent modifications to policies and procedures as a result of university audits, legal requirements, and best practices. All changes fall within state statutes, and are congruent with the Illinois Procurement Code. Additionally, PRZM changes have also been made to versions 1.7 and 1.8 to implement these changes and are immediately available for use.

Among the Contract Document changes, the University has clarified the definitional language for Change Orders (COs) and Emergency Work Authorizations (EWAs). Additionally, an intermediate type of Change Order called a **Field Directive (FD)** has been introduced to expedite Change Orders that meet the FD definition. A FD allows time-critical work to proceed under a "not-to-exceed" time and material cost control basis. These Contract Document changes align with the new 'Change Order and Amendment Policy' located in section 5.E at
http://www.uocpres.uillinois.edu/docs/UI/manual/CO&Amend.pdf

which was recently issued by the University Office of Capital Programs and Real Estate Services.

When a change in work scope is contemplated or required, a Request for Proposal (RFP) is initiated to the Contractor(s) for pricing. After initiation, the projects' Professional Services Consultant (PSC) and Project Planner/Manager (PM) may perceive that the normal process for approving the change can cause an unusual or exceptional delay to the project schedule or pricing for the change may be in dispute. If this is substantiated, the PM will direct the PSC to initiate a FD to the Contractor to respond with a "not-to-exceed" time and material cost for the contemplated work.

For Projects using PRZM, the FD is initiated, reviewed and approved similarly to the RFP process. Once the FD has gone through the entire PRZM electronic approval cycle, the Contractor will be authorized by e-mail to begin Work. The Contractor will immediately print out and sign the FD and return it to the PM, with the PSC's review signature, within 10 days, or suspension of Work and/or withholding of payment could occur. For Projects not using PRZM, the Contractor will be required to have all wet signature approvals complete prior to receiving authorization to proceed with the Work. In either case, the FD will eventually become a Change Order through completion of the RFP process prior to completion of Work as a lump sum basis or after completion of Work with backup documentation, including proof of hourly time used to implement the change along with material costs.

Emergency Work Authorizations (EWA's) are now more rigidly defined and will only be used for proceeding with Work under conditions of threat to public health or safety, loss of or damage to property or the integrity of vital records, or serious disruption of essential services.

Identified below are current definitions of Change Orders, Field Directives and Emergency Work Authorizations that are included in Articles 1 and 13 of General Conditions (Document 00700) of the University's Construction Contract Documents for your reference. These definitions will determine which document to use for processing changes to Work scope.

Definitions of Terms

Following are definitions of each type of change.

A. Change Orders

"Change Order" means a written order to a Contractor executed by the Owner in accordance with the contract authorizing and directing an addition to, deletion from, or adjustment or revision of the requirements of the Contract Documents, or an adjustment to the compensation payable to Contractor, or to the time for performance of the contract and completion of the Project, or a combination thereof. All additional expenditures related to work performed or material purchased through an agreement with a Contractor will ultimately take the form of a Change Order. Change Orders shall utilize the approved format identified by the Office of University Counsel and University Office of Capital Programs and Real Estate Services. In order to comply with Section 30-35 of the Procurement Code, directives of the Board of Trustees, this Policy and other University and campus policies. All Change Orders shall be subject to the signature limits set forth in Section IV of this Policy and any Change Order $25,000 or more shall be routed to the University Office of Capital Programs and Real Estate Services for verification and concurrence.

A.1. Field Directive (FD) Definition

"Field Directive" means a written order to a Contractor executed by the Owner in accordance with the contract authorizing and directing an addition to, deletion from, or adjustment or revision to the requirements of the Contract Documents, or an adjustment to the compensation payable to Contractor, or to the time for performance of the contract and completion of the Project, or a combination thereof. Field Directives may only be utilized in distinct and exceptional situations when, due to circumstances beyond the University's control, a proposed Change Order is in dispute or the contemplated time of completion for the normal Change Order process could adversely affect the project. Prior to commencement of work, the University shall set forth on the appropriate form "not-to-exceed" time and material costs for the contemplated expenditure. A Field Directive is preliminarily authorized/supported with appropriate documentation (see Exhibit 1) and ultimately utilizes the Change Order form. Additional documentation supporting and justifying the completed work shall be required. Field Directives are subject to approval by the appropriate University administrator as indicated in Section IV.

A.2 Emergency Work Authorization (EWA) Definition

"Emergency Work Authorization" means a written order to a Contractor executed by the Owner in accordance with the Agreement and directing an adjustment to the Contract Document requirements. An Emergency Work Authorization shall be utilized only in instances of a threat to public health or safety, loss of or damage to property or the integrity of vital records, or serious disruption of essential services. Issuance of an Emergency Work Authorization is entirely within the discretion of the Owner. Prior to commencement of work, the University shall set forth on the appropriate form "not-to-exceed" time and material costs for the contemplated expenditure. An Emergency Work Authorization is preliminarily authorized/supported with appropriate documentation (see Exhibit 1) and ultimately utilizes the Change Order form. Prior to commencement of work, an Emergency Work Authorization shall be approved by the Director of the Campus Construction Unit or by an administrator with greater authority pursuant to Section IV herein.

Field Directive Process Summary

Contractor with Assigned Subcontractors

1. When a change has been identified as necessary, the Professional Services Consultant (PSC) initiates a Request for Proposal (RFP) within PRZM.
2. The Professional Services Consultant (PSC) creates the Field Directive (FD), completes the required fields and designates that it is ready.

   ➢NOTE: The associated RFP **must** exist in PRZM before the FD can be created.
3. PRZM notifies the Contractor with Assigned Subcontractor's primary contact to edit the Field Directive document in order to notify the Assigned Subcontractors that they need to respond.
4. When the Assigned Subcontractor receives notification, he/she responds with a Field Directive Response document, and selects "affected" or "not affected".
   i. If the Assigned Subcontractor is not affected, no further action is required.
   ii. If an Assigned Subcontractor is affected, he submits a Not to Exceed Cost estimate (NTE) on the Field Directive Response document and submits it to the Contractor with Assigned Subcontractors for approval.
5. The Contractor with Assigned Subcontractors must also submit a Field Directive Response document. Since his response summarizes all Assigned Subcontractors' responses, he waits for all Assigned Subcontractor to respond, completes the approval process for each, and then submits his own response along with the summary not-to-exceed estimate (NTE) for all affected divisions to the Professional Services Consultant (PSC) for approval.
6. If the Professional Services Consultant (PSC) approves, PRZM notifies the Campus Project Manager (PM) for approval. If the Professional Services Consultant (PSC) rejects the Contractor with Assigned Subcontractor's not-to-exceed estimate (NTE), it goes back to that Contractor to resolve and resubmit for approval if needed.
7. If the Campus Project Manager (PM) approves, and the Field Directive (FD) is over \$10,000, PRZM notifies the Campus Construction Unit Director (CCUD) for approval. If the PM approves and the FD is less than or equal to \$10,000, PRZM sends an email notification to the Contractor with Assigned Subcontractors to proceed with the work and to print and route the NTE print friendly form for signatures. If PM rejects it, the Contractor with Assigned Subcontractors NTE goes back to the Professional Services Consultant (PSC) approval stage.
8. If the Campus Construction Unit Director (CCUD) approval is required and the CCUD approves, PRZM notifies the Contractor with Assigned Subcontractors to proceed with the work and to print and route the NTE print friendly form for signatures. If the CCUD rejects the Contractor with Assigned Subcontractors' NTE, it goes back to the PM approval stage.
9. Once the required contractor and PSC signatures have been obtained on the print friendly form, it is routed to the PM to complete all necessary University signatures. The PM edits the Contractor with Assigned Subcontractors NTE and designates that the signatures have been received. The contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.
10. If an Assigned Subcontractor submits a revised NTE the process goes back to step 4 above.
11. If the Contractor with Assigned Subcontractors submits a revised NTE the process goes back to step 5 above.

CM with Non Assigned contractors

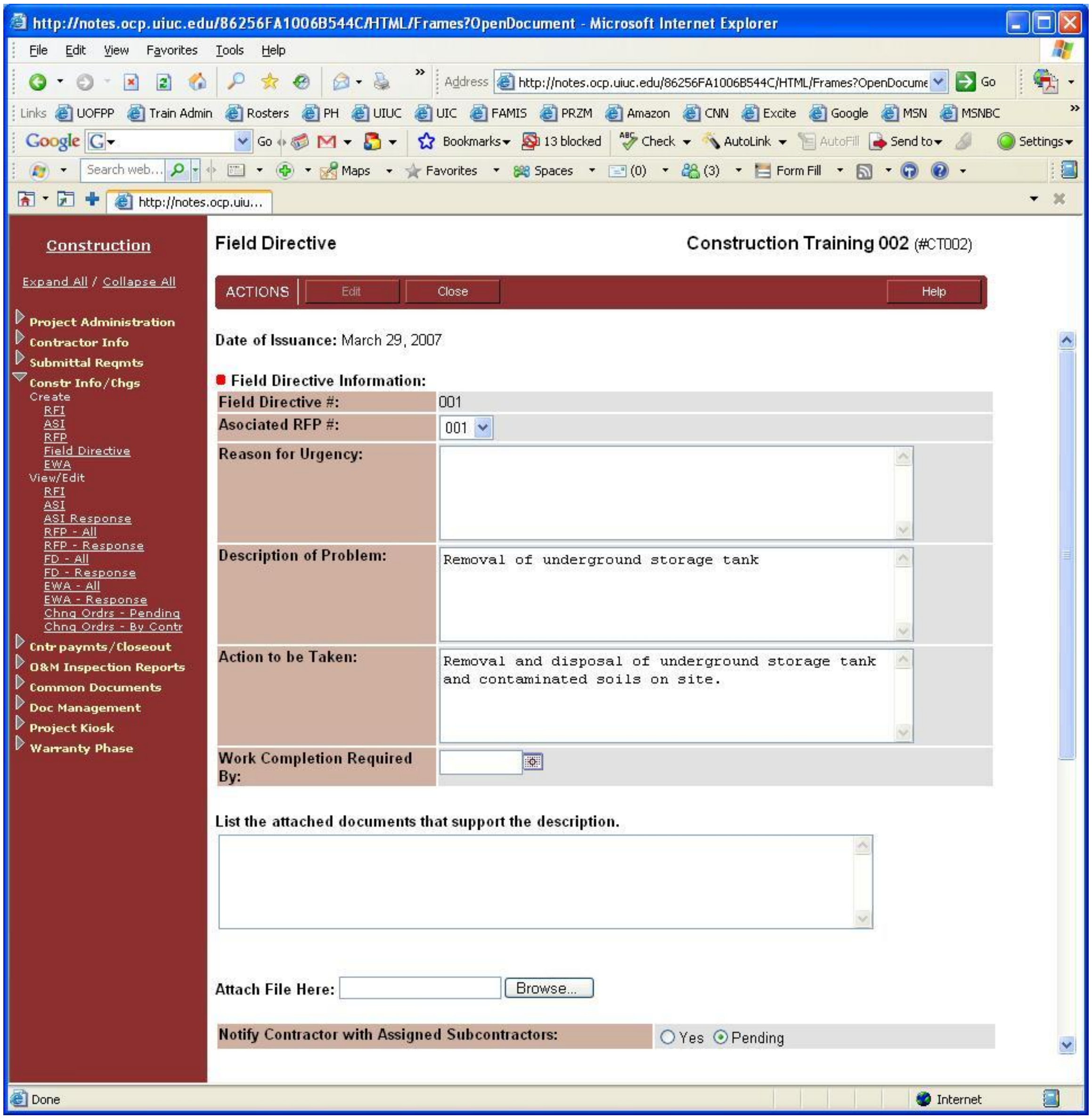
1. When a change has been identified as necessary, the Professional Services Consultant (PSC) initiates a Request for Proposal (RFP) within PRZM.
2. The Professional Services Consultant (PSC) creates the Field Directive (FD), completes the required fields, and designates that it is ready.

   ➢NOTE: The associated RFP must exist in PRZM before the FD can be created.
3. PRZM notifies the team members with the Construction Manager role (but only those who have been flagged to receive event notices) to edit the FD and notify Non Assigned contractors that they need to respond.
4. After they have been notified, Non Assigned contractors respond “affected” or “not affected”.
   i. If a Non Assigned contractor is not affected, they submit a Field Directive Response document to the CM indicating that they are not affected. No further action is required.
   ii. If a Non Assigned Subcontractor is affected, he submits a Not to Exceed Cost estimate (NTE) on the Field Directive Response document and submits it to the Contractor with Assigned Subcontractors for approval.
5. If the CM approves, the Professional Services Consultant (PSC) is notified for approval. If the CM rejects, the NTE goes back to the Non Assigned contractor to edit and resubmit for approval if needed.
6. If the Professional Services Consultant (PSC) approves, the Campus Project Manager (PM) is notified for approval. If the Professional Services Consultant (PSC) rejects, the NTE goes back to the CM approval stage.
7. If the PM approves and the FD is over $10,000, the Campus Construction Unit Director (CCUD) is notified for approval. If the PM approves and the FD is less than or equal to $10,000, the Non Assigned contractor is notified to continue with the work and to print and route the NTE print friendly form for signatures. If PM rejects, the NTE goes back to the Professional Services Consultant (PSC) approval stage.
8. If the CCUD approval is required and the CCUD approves, the Non Assigned contractor is notified to continue with the work and to print and route the NTE print friendly form for signatures. If the CCUD rejects the NTE goes back to the PM approval stage.
9. Once the required contractor and PSC signatures have been obtained on the print friendly form, it is routed to the PM to complete all necessary University signatures. The PM edits the Non Assigned contractor’s NTE and designates the signatures have been received. The contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.
10. If a Non Assigned Subcontractor submits a revised NTE the process goes back to step 4 above.

Non Assigned contractors (no CM)

1. The Professional Services Consultant (PSC) creates the Field Directive (FD), completes the required fields and designates that it is ready. The associated RFP must exist in PRZM before the FD can be created.
2. The contractors respond “affected” or “not affected” after they have been notified.
   i. If a Non Assigned contractor is not affected, they submit a response that they are not affected. No further action is required.
   ii. If a Non Assigned contractor is affected they submit a Not to Exceed Cost estimate (NTE) to the Professional Services Consultant (PSC) for approval.
3. If the Professional Services Consultant (PSC) approves the Campus Project Manager (PM) is notified for approval. If the Professional Services Consultant (PSC) rejects the NTE goes back to the Non Assigned contractor to edit and resubmit for approval if needed.
4. If the PM approves and the FD is over $10,000 the Campus Construction Unit Director (CCUD) is notified for approval. If the PM approves and the FD is less than or equal to $10,000 the Non Assigned contractor is notified to continue with the work and to print and route the NTE print friendly form for signatures. If PM rejects the NTE goes back to the Professional Services Consultant (PSC) approval stage.
5. If the CCUD approval is required and the CCUD approves the Non Assigned contractor is notified to continue with the work and to print and route the NTE print friendly form for signatures. If the CCUD rejects the NTE goes back to the PM approval stage.
6. Once the required contractor and PSC signatures have been obtained on the print friendly form, it is routed to the PM to complete all necessary University signatures. The PM edits the Non Assigned contractor’s NTE and designates the signatures have been received. The contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.
7. If a Non Assigned Subcontractor submits a revised NTE the process goes back to step 3 above.

Field Directive Step-by-Step Instructions



Instructions for the Professional Services Consultant (PSC):

1. Create the RFP as usual.

2. From the navigator, under the Constr Info/Chgs section, under the Create option, click on **Field Directive**.

   A new Field Directive form opens.

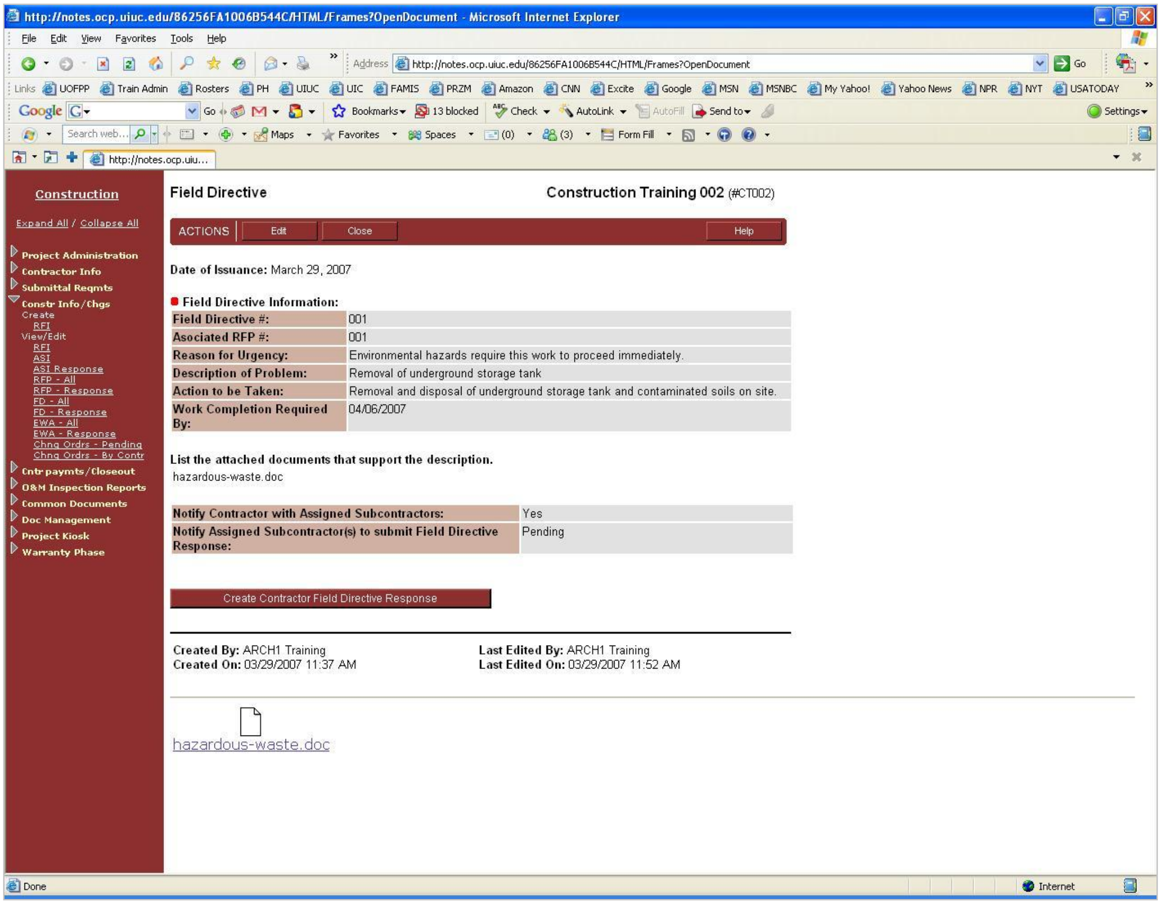
3. In the Associated RFP # section, from the dropdown menu, select the related RFP.

   The form refreshes to include information from the RFP, as illustrated above.

4. In the **Reason for Urgency** section of the form, type in the reason for urgency.

5. In the **Work Completion Required By** section, type the date (in the format mm/dd/yyyy) or select the date from the pop-up calendar.
6. In the **List the attached documents that support the description** section, list the documents you will attach to support this FD.
7. In the Attach File here section, click the **Browse** button to select the file you will attach.
8. When the FD is ready for routing, in the **Notify Contractor with Assigned Subcontractors:** section, click on the **Yes** radio button.

   Note: If you leave this selection with the Pending radio button selected, the FD will not be routed when you save. The document will be saved with a status of "Pending completion by Professional Services Consultant (PSC)".
9. When you have completed your work, click the **Save Field Directive** button.
10. The document is saved with a status of "Contractor with Assigned Subcontractors Notified".



Instructions for the Contractor with Assigned Sub-Contractors:

1. When a Field Directive is ready for your review, you will receive an email notification.
2. Logon to PRZM.
3. From your Dashboard, in the Project-Specific Details section, select the project from the drop-down menu.

   The Dashboard refreshes.
4. Click on the link to **Construction**.

   A new window opens with the Construction phase of the project displayed.
5. From the navigator, click the twistie next to **Constr Info/Chgs**.

   The navigator refreshes to display your choices.
6. Click on the link to **FD - All**.

   The list of available Field Directives opens.
7. Expand the list using the Expand All button.

   The list expands.
8. Click on the link to the Field Directive number you wish to respond to.

The Field Directive opens.

9. Click the **Edit** button.

   The document opens in edit mode.

10. In the Notify Assigned Subcontractors to Submit Field Directive Response section, click in the **Yes** radio button.
11. Click the **Save Field Directive** button.

    The Field Directive list returns.

12. To respond to the Field Directive you have just notified subcontractors about, click on its number.

    The Field Directive displays.

13. When you have reviewed the Field Directive, at the bottom of the document, click on the **Create Contractor Field Directive Response** button.

    The Field Directive Response form opens.

14. In the **Division of Work** field, select the your division.

    The form refreshes, importing data from the Field Directive and its related RFP.

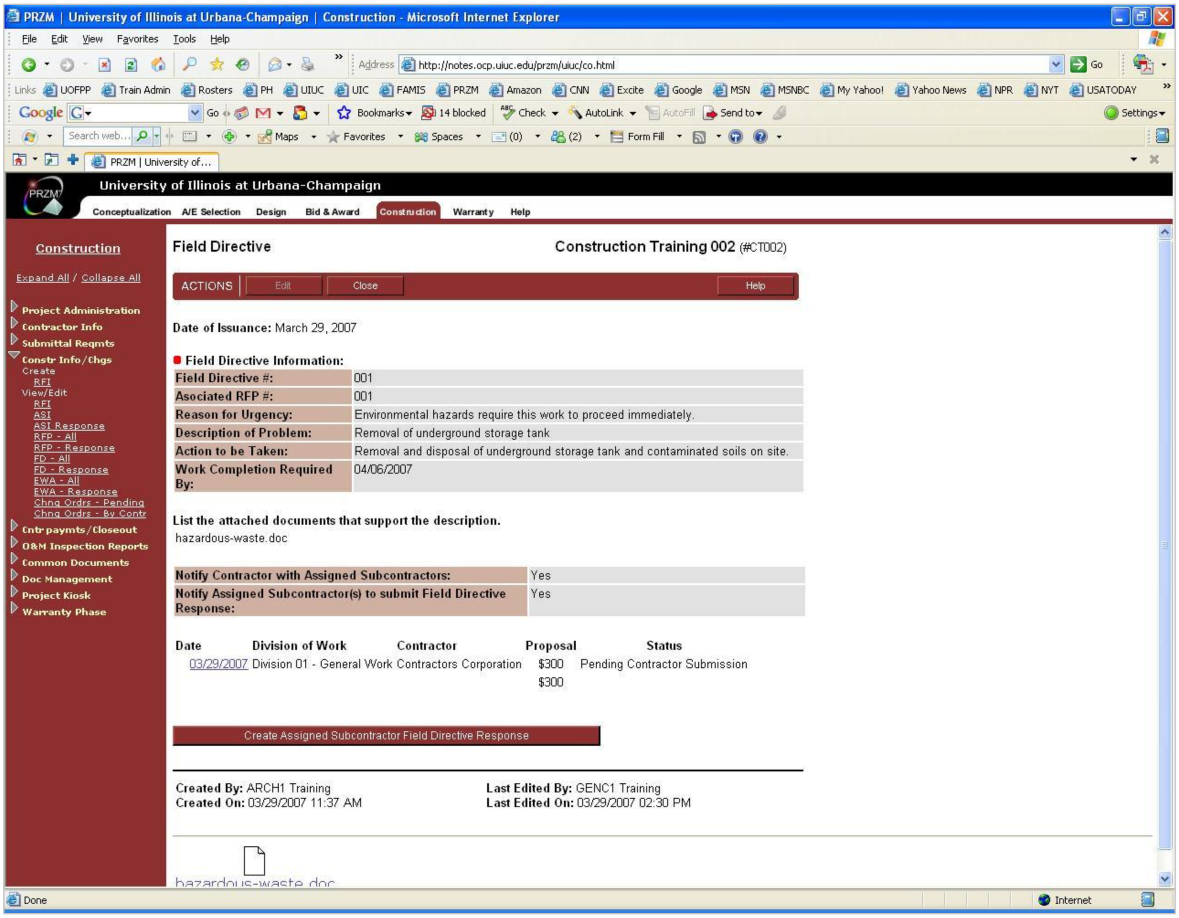
15. In the **Are you affected by this Field Directive?** section of the document, click in the appropriate radio button:

    - Yes
    - No
    - Pending

16. If you selected Yes, the document refreshes and a Total "Not to Exceed" Cost to Complete (Labor, Material, Mark up, etc.): field appears.
17. Enter the **Not to Exceed (NTE)** amount for the work.
18. Click the **Refresh** button.
19. If you selected No, the document refreshes and you are directed to the next section.
20. Save the Field Directive

    Note: Do not submit for approval until all subcontractors have responded.

    Once all sub-contractors have responded, their responses will appear on the Field Directive document.



Instructions for Assigned and Non Assigned Sub-Contractors:

1. When a Field Directive is ready for your review, you will receive an email notification.
2. Logon to PRZM.
3. From your Dashboard, in the Project-Specific Details section, select the project from the drop-down menu.
   The Dashboard refreshes.
4. Click on the link to **Construction**.
   A new window opens with the Construction phase of the project displayed.
5. From the navigator, click the twistie next to **Constr Info/Chgs**.

   The navigator refreshes to display your choices.
6. Click on the link to **FD - All**.

   The list of available Field Directives opens.
7. Expand the list using the Expand All button.

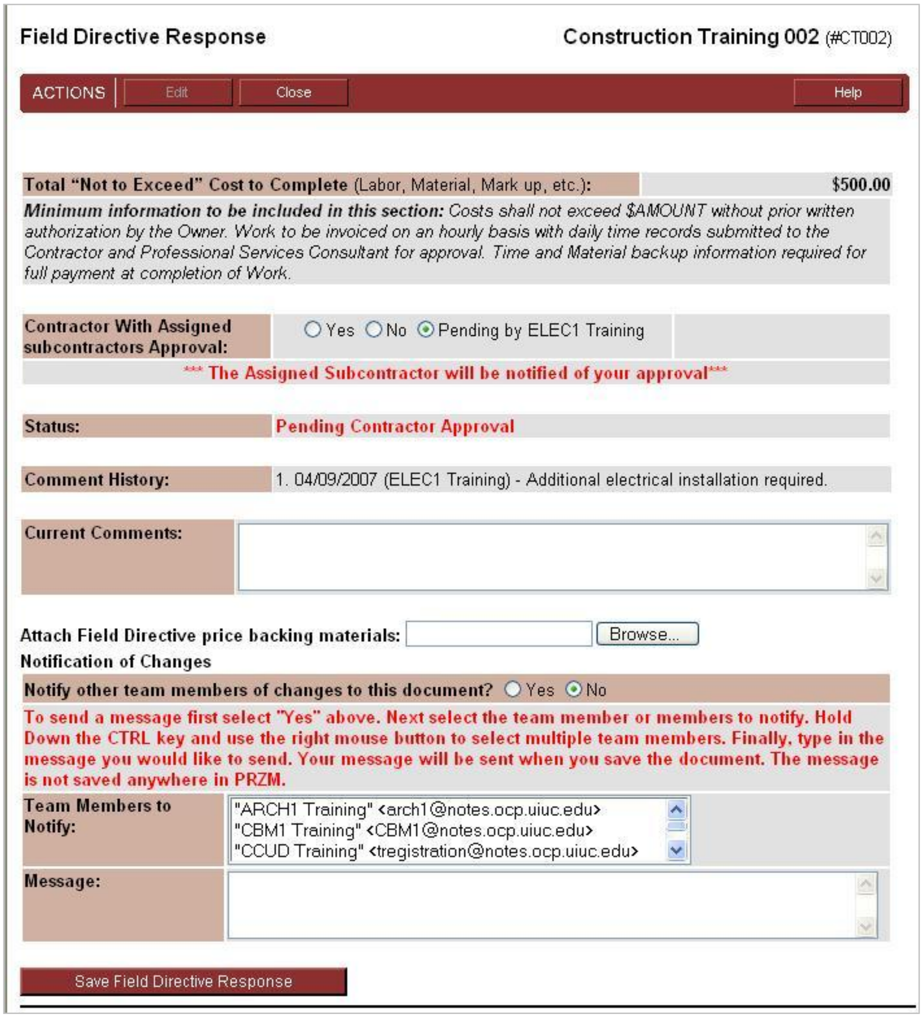
   The list expands.
8. Click on the link to the Field Directive number you wish to respond to.

   The Field Directive opens.

9. Review the Field Directive.
10. When you are ready to respond, click the **Create Assigned Subcontractor Field Directive Response** button.
11. The Field Directive Response document opens, in edit mode.
12. In the **Division of Work** field, select your Division.

    The Field Directive Response refreshes, displaying the Reason for Urgency, the Description of the Problem, the Action to be Taken, and the Work Completion Required By date.
13. In the **Are You Affected by this Field Directive?** section, click in the appropriate radio button:
14. If you selected Yes, the form refreshes, to display the **Total "Not to Exceed" Cost to Complete** (Labor, Material, Mark up, etc.)**:.** field.
15. Enter the amount of your Not to Exceed Cost to Complete estimate.
16. If you selected No, continue to the next step.
17. In the Comments section, enter any relevant comments about your response.
18. In the **Attach Field Directive price backing materials:** section, if necessary, use the Browse button to attach relevant file(s).
19. In the **Submit NTE for Approval:** section, click the **Yes** radio button.
20. Click on the **Save Field Directive Response** button.

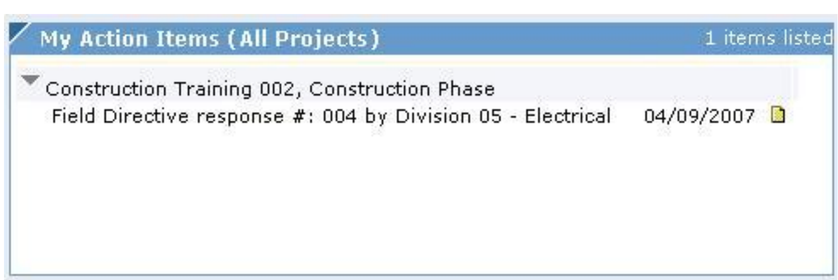
    Your response is saved and routed to the Contractor with Assigned Subcontractors.



Instructions for Approvers:

Once the Subcontractor or Non Assigned Contractor has created his response , you will receive notification that it is ready for your approval.

1. From your Dashboard, you may click on the link to the relevant document, as illustrated below.



2. Click on the link to the Field Directive response.
3. A new window opens, with the Field Directive response document displayed.
4. Review the response, and, in particular, the Not to Exceed estimate.

5. If you approve the estimate, in the {**Role**} (e.g., **Contractor with Assigned Subcontractors**) **Approval** section, click in the **Yes** radio button.

   ➢NOTE: Your role will appear in the approval section, with those who have approved the Field Directive listed above yours.

6. If you do not approve the estimate, in the **Contractor with Assigned Subcontractors Approval** section, click in the **No** radio button.

7. In the **Message** section, type any direction you wish to give to the Assigned Subcontractor.

8. When you are finished, click on the **Save Field Directive Response** button.

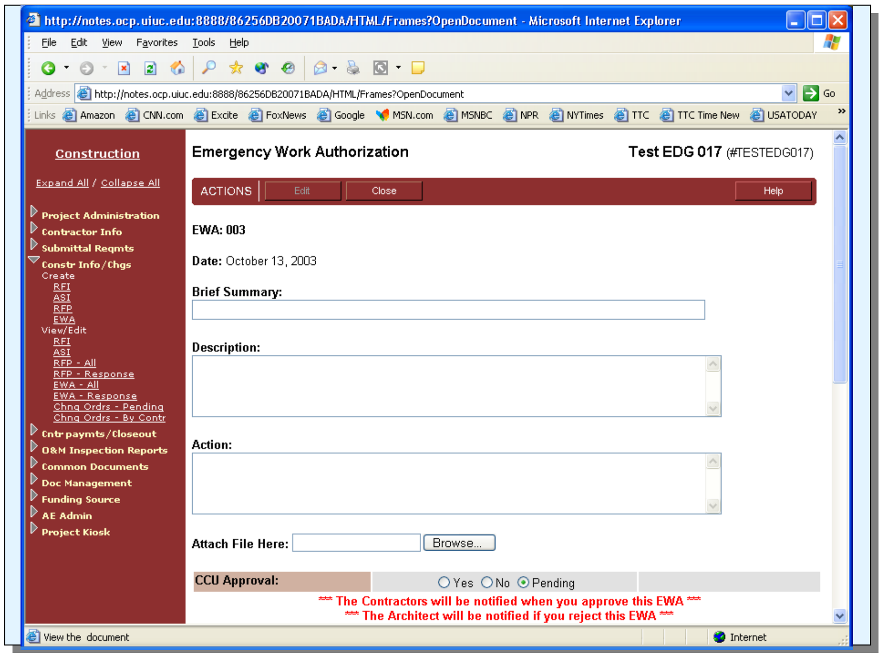
   The Assigned Subcontractor will be notified of your decision.

9. If you have approved, the document will be routed to the next approver.

10. If you did not approve, the document will be returned to the Assigned Subcontractor for editing.

11. Once all approvals have been received, the team will need to complete the RFP to Change Order process, with appropriate approvals, as usual.

The Emergency Work Authorization (EWA)



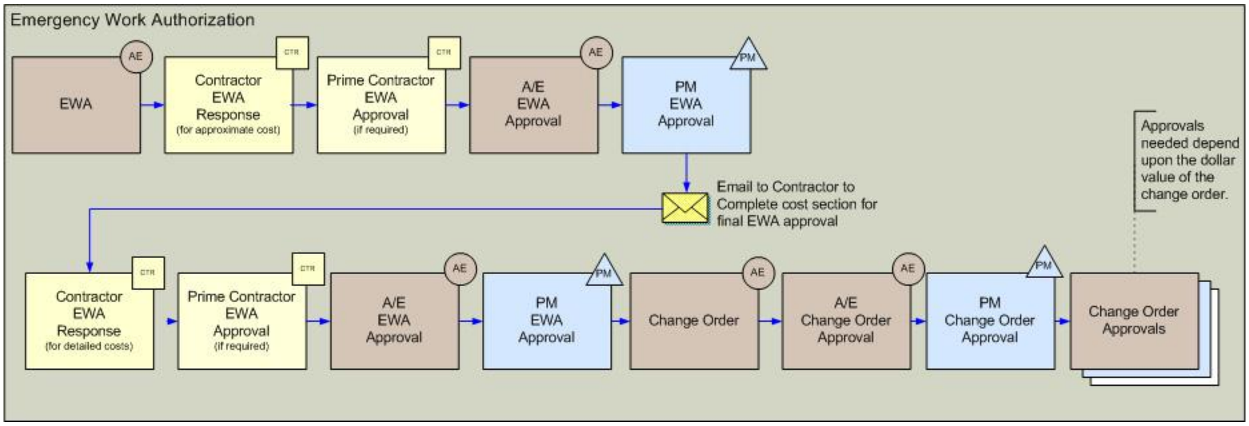
• A new Emergency Work Authorization document

On rare occasions, the Project Manager or the Architect/Engineer may direct the contractor to perform changes in the work immediately. Unlike a Request for Proposal process when a contractor prepares a fixed fee price, an Emergency Work Authorization (EWA) allows the Project Manager to authorize work to immediately proceed in the field when he is given a not-to-exceed price by the affected contractors.

The EWA may be authored by the Project Manager or the Architect/Engineer. If the latter, it must also be approved by the Project Manager.

When there is a Contractor with Assigned Subcontractors, each subcontractor must respond with their initial response and not-to-exceed estimate.

Emergency Work Authorization Workflow



The Emergency Work Authorization document can be authored by the Architect/Engineer or the Project Manager. It must be approved by the A/E or PM, whichever did not author the document. Once it has been approved, the Contractor will receive an email indicating approval. The Contractor must respond with a not-to-exceed amount, and this must be approved before the Change Order is initiated, as indicated in the workflow diagram above.

To Create an Emergency Work Authorization (EWA):

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **Create**, click **EWA**.

   A new Emergency Work Authorization document appears, in Edit mode.

   ▸ **Note:** The **EWA#** is supplied by PRZM.
3. In the **Brief Summary** field, provide a summary of the EWA.
4. In the **Description** field, provide a description of the work.
5. In the **Action** field, describe the action to be taken at the job site.
6. The Project Manager should indicate approval in the **Approved by CCU** field.
7. In the **Attach File here** field, attach any relevant file necessary to support the Emergency Work Authorization by clicking on the Browse button and selecting the file form the file system.
8. Click the **Save Emergency Work Authorization** button to save your work.

   When the EWA is saved and approved, an e-mail is sent to all contractors alerting them that they should respond to the EWA.

Contractors fill out an Emergency Work Authorization Response form in response to an EWA item.

▸ **Note:** *Contractors should fill this form out even if they are not affected by this EWA*.

Responding to an EWA: Instructions for the Contractor:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **EWA – All**.

   A list of Emergency Work Authorizations appears.
3. Select the appropriate EWA from the list of documents in the main PRZM window.
4. Review the EWA document.
5. To respond to an EWA, do ***NOT*** click on Edit in the EWA form. Instead, scroll down and click the **Create EWA Response** button.

   This will close this form and open an EWA Response form.
6. *If you are **not** affected by this Emergency Work Authorization*:

   a. In the **Are you affected by this EWA** field, select **No**.

   b. Scroll to the bottom of the form, and click the **Save EWA Response** button.

   No further action on your part is necessary.

   *If you **are** affected by this Emergency Work Authorization*:

   a. In the **Are you affected by this EWA** field, select **Yes**.

   b. In the **Description of Work** field, enter your version of the description of the work entailed by this EWA.

   c. In the **Approximate Cost** field, enter an estimate of the cost for this EWA.

   ▸ **Note:** At this point you are not required to submit cost information until after you have completed the work.

   d. Click the **Submit Emergency Work Authorization Response** to save the document.

   e. Notify the Architect/Engineer that your response is complete and ready for review.

   This document may be accessed in the EWA – Response view.

EWA Response Approvals

The first round of approvals on the EWA Response document occurs right after the contractor has submitted the approximate cost. The work then takes place in the field. Once the work is completed, the contractor returns to the form and supplies the detail on the work provided as well as the final cost. A second round of approvals occurs when the Contractor with Assigned Subcontractors, if applicable, the Architect/Engineer, and the Project Manager approve the final cost.

Entering EWA Response Cost and Approval Information:

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.

2. Under **View/Edit**, click **EWA – Response**.
3. Select the appropriate EWA Response from the list of documents in the main PRZM window.

   The EWA Response opens.
4. Click the **Edit** button.
5. In the **Summary of Detailed Breakdown** table, enter the information on your estimate in a manner that is consistent with the reviews by the Architect/Engineer and the Project Manager. Provide information on additions and deletions to material, labor, and other costs associated with work that is specific to your contract.
6. Click the **Calculate Values** button to provide the net total of those values and calculate the overhead and profit.

7. In the **Contractors Markup on Work of Subcontractors** table, enter the subcontractor's name and contract work associated with this EWA.
8. Click the **Calculate Values** button to provide the net total of those values.

   Note: If there is a change in the work that actually shrinks the scope (for example, only paint 400 instead of 500 feet), then the contractor would reduce his portion of the work accordingly.
9. In the **Proposal** table is a summary of the detailed breakdown and the subcontractor breakdown. Enter a percentage value that represents insurance, bond, and any applicable taxes.
10. Click the **Calculate Values** button to generate the total EWA value that you will submit to the Architect/Engineer for review.

11. In the **Attach Price Backing Materials** field, attach an electronic version of your estimates and/or your subcontractors' estimates that provide the detail for the dollar values listed in the tables above. Attach your documents to this form by entering the location of the file in the box provided. You may also use the **Browse** button to locate the file.

    Your attachments will be saved as part of the document.
12. On the next line, from the drop down box, select whether this EWA will *increase*, *decrease*, or *not change* the contract amount.
13. Indicate whether your response to the EWA is complete and give the date completed.
14. Notify the Architect/Engineer that the EWA Response is complete and ready for review by clicking the radio button on the form.
15. Click the **Save EWA Response** button to save the document.

    This document may be accessed in the EWA – Response view.

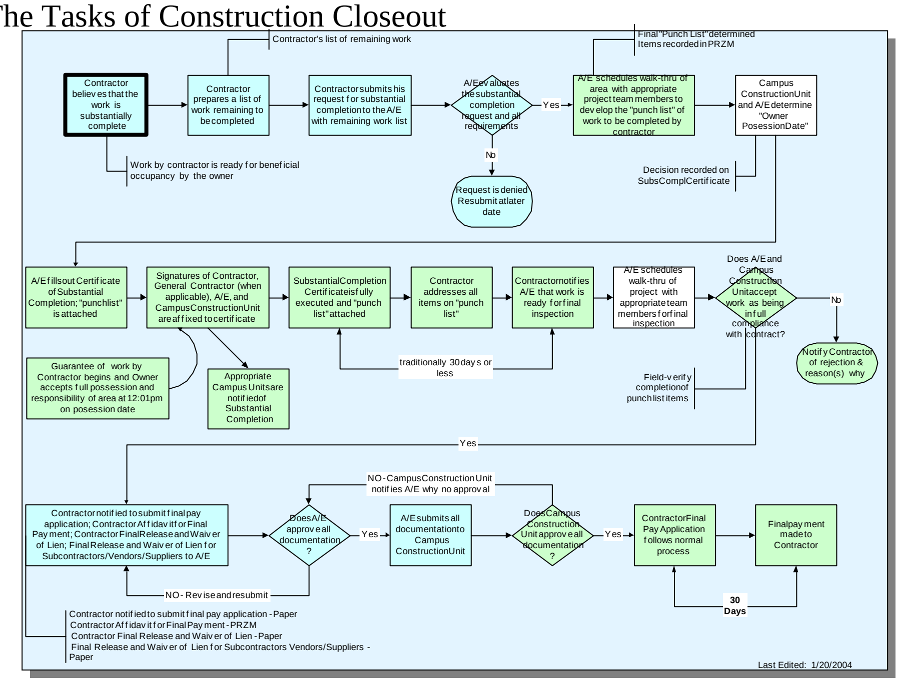
Instructions for the Approvers (Contractor with Assigned Subcontractors; Construction Manager, Architect/Engineer; Project Manager):

1. In the Construction navigator, click on the twistie next to **Constr Info/Chgs**.
2. Under **View/Edit**, click **EWA – Response**.

3. Select the appropriate EWA Response document from the list of documents in the main PRZM window.
4. Click the **Edit** button.
5. Evaluate the EWA Response.
6. Indicate your approval by checking **Yes** or **No**.
7. Enter today's date.
8. Click the **Save EWA Response** button to save the document.

The Tasks of Construction Closeout

The Tasks of Construction Closeout



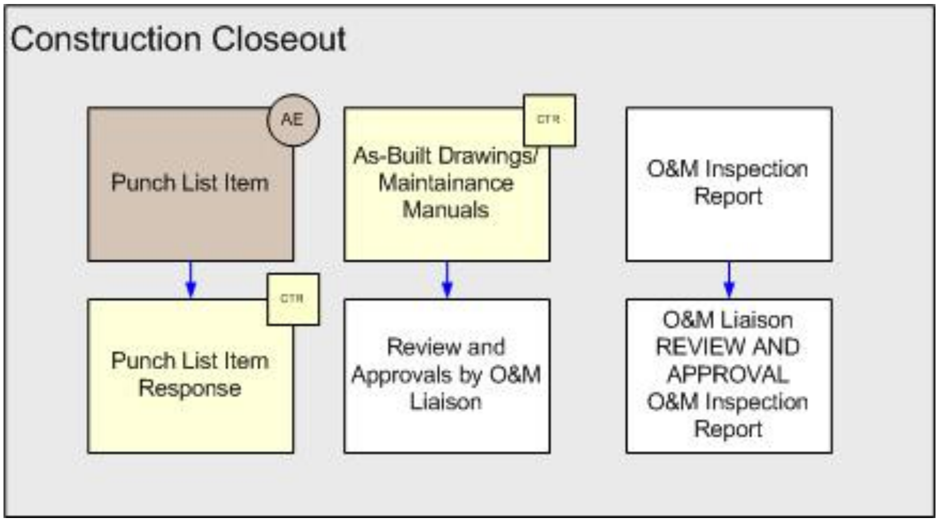
As construction draws to a close, the work will be inspected by the Architect/Engineer, Project Manager, and the University's Operations and Maintenance personnel to determine how close the project is to completion. During this time, Contractors will need to correct items noted in the Punch List and deposit As-Built Drawings and Maintenance Manuals into PRZM.

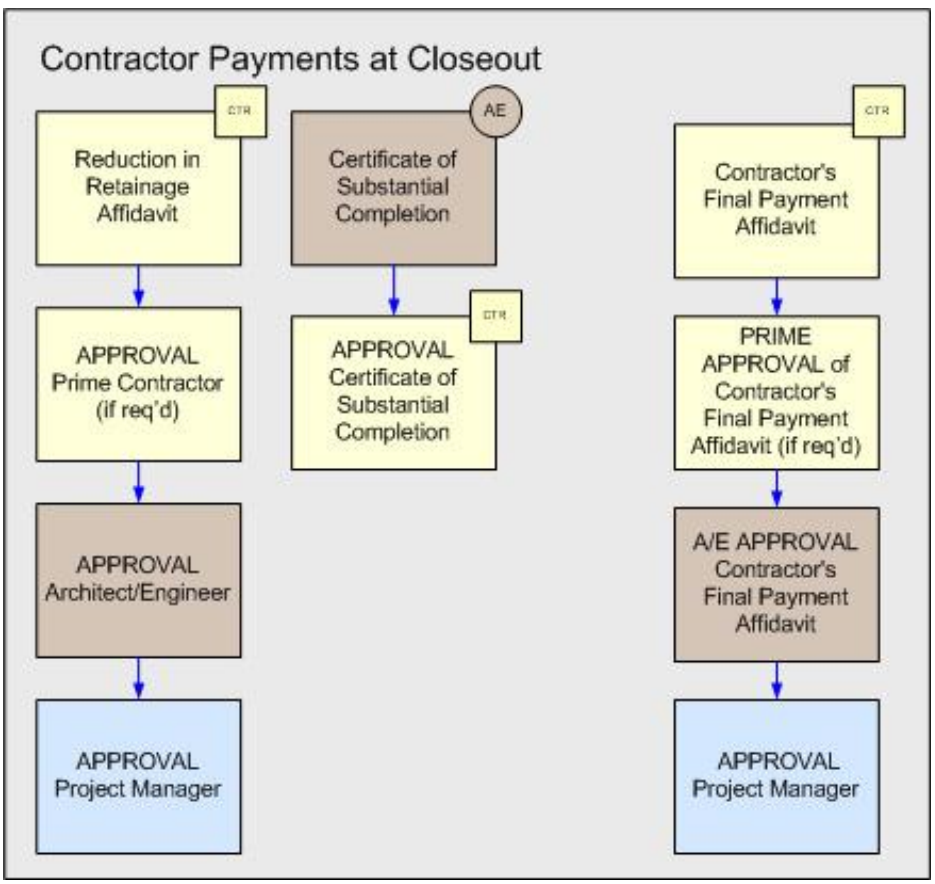
Before final payment may be made to the Contractor, the University must determine that the work is substantially complete. At this time, the retainage amount may be released back to the Contractor.

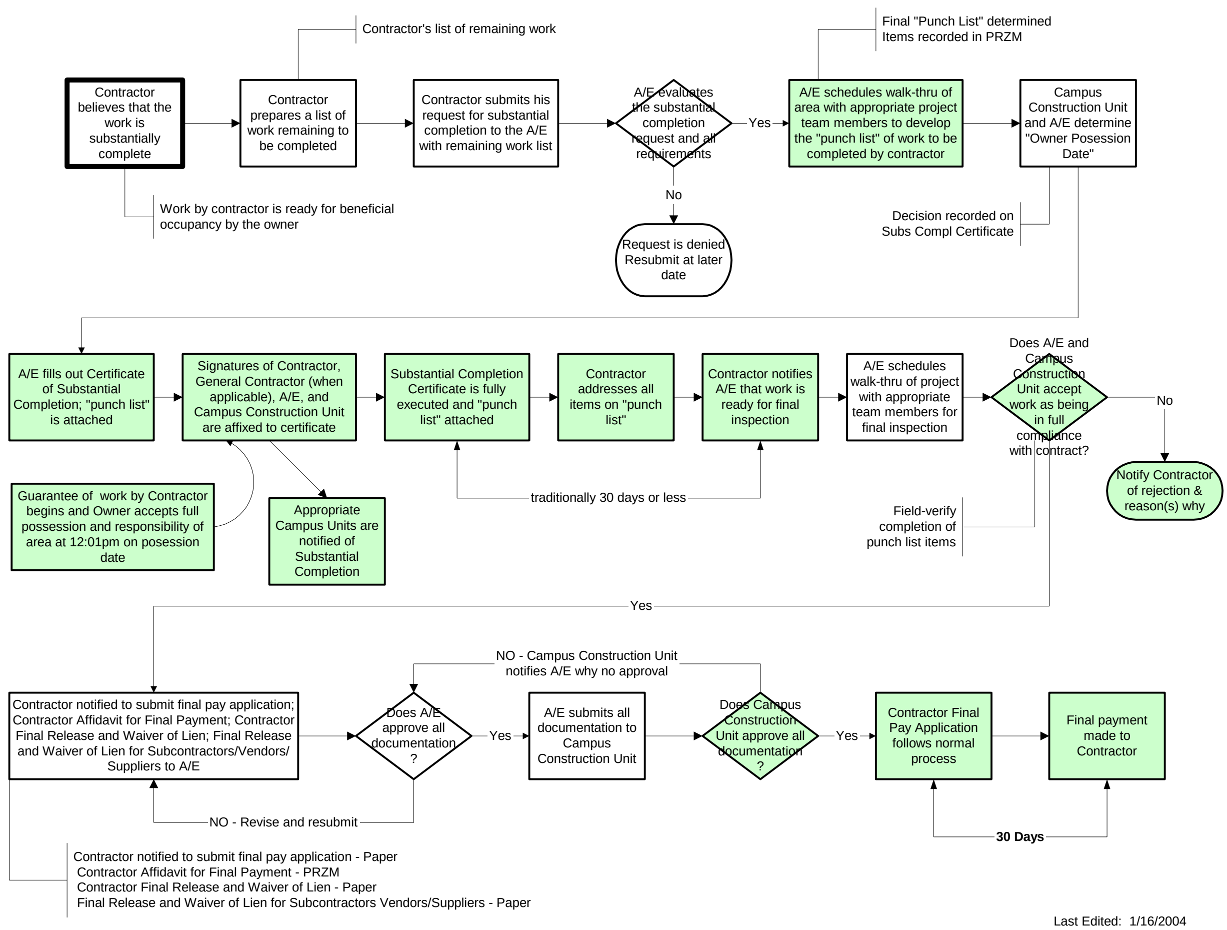
Therefore, construction closeout involves the following activities recorded in PRZM:

- O&M Inspection Reports
- Punch List Items
- As-Built Drawings and Maintenance Manuals
- Reduction in Retainage Affidavit
- Certificate of Substantial Completion
- Contractor's Final Payment Affidavit
- Contractor's Final Release and Waiver of Lien
- Contractor's Final Release and Waiver of Lien for SVS

The following flow charts illustrate these activities and any necessary approvals processes.


Construction Closeout
AE
Punch List Item
CTR
As-Built Drawings/
Maintainance
Manuals
O&M Inspection
Report
CTR
Punch List Item
Response
Review and
Approvals by O&M
Liaison
O&M Liaison
REVIEW AND
APPROVAL
O&M Inspection
Report


Contractor Payments at Closeout
CTR
Reduction in
Retainage
Affidavit
AE
Certificate of
Substantial
Completion
CTR
Contractor's
Final Payment
Affidavit
APPROVAL
Prime Contractor
(if req'd)
CTR
APPROVAL
Certificate of
Substantial
Completion
PRIME
APPROVAL of
Contractor's
Final Payment
Affidavit (if req'd)
APPROVAL
Architect/Engineer
A/E APPROVAL
Contractor's
Final Payment
Affidavit
APPROVAL
Project Manager
APPROVAL
Project Manager



[See Construction Closeout Checklist, following.]

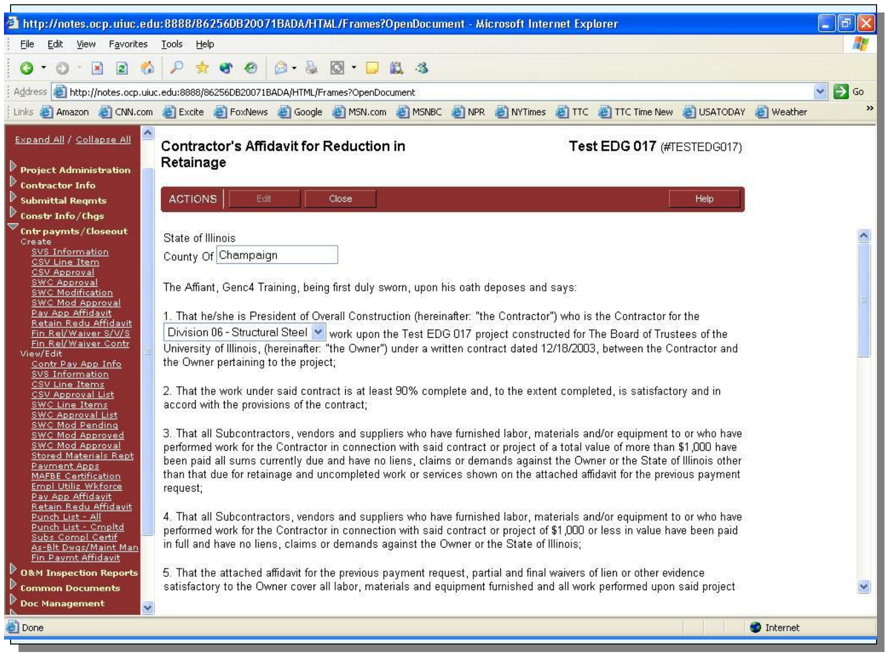
Construction Closeout Checklist

	Task No.	Role	Activities	Actions within PRZM
☐	1.	Contractor	Contractor believes that the work is substantially complete (>90% complete).	
☐	2.	Contractor	Ensures that all submittal requirements have been met.	If Submittal Requirements are used within PRZM, Contractor completes all submittal requirements documents.
☐	3.	A/E	A/E reviews all submittals.	
☐	4.	Contractor	Contractor prepares a list of work remaining to be completed and submits the list to the Architect/Engineer.	
☐	5.	Contractor	Contractor requests for substantial completion from the A/E*.	
☐	6.	A/E	A/E evaluates the substantial completion request and all requirements.	
☐	7.	A/E	A/E approves or denies the request. If denied, Contractor must resubmit at a later time. Assuming the request is approved, it moves forward.	
☐	8.	A/E	A/E schedules a walk-thru of the area with appropriate project team members, in order to develop the Punch List of work to be completed by the Contractor.	
☐	9.	A/E	A/E records Punch List items within PRZM.	A/E records Punch List Items
☐	10.	A/E & CCU*	Campus Construction Unit and A/E determine the "Owner Possession Date"	A/E records the "Owner Possession Date" on the Certificate of Substantial Completion within PRZM but does not yet complete the remainder of the document.
☐	11.	Contractor	Contractor begins work on Punch List Items.	
☐	12.	A/E	A/E completes the Certificate of Substantial Completion and begins the approvals process.	A/E completes the Certificate of Substantial Completion.
☐	13.	CM*	CM approves the Certificate of Substantial Completion[†]	Approves the Certificate of Substantial Completion
☐	14.	Contractor with Assigned Subcontractors	Contractor with Assigned Subcontractors approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	15.	A/E	A/E approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	16.	PM*	PM approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	17.	PM	PM notifies appropriate campus units of Substantial Completion	
	18.		Substantial Completion Certificate is fully executed. Contractor has 30 days within which to complete all Punch List items. If	

	Task No.	Role	Activities	Actions within PRZM
			Contractor does not meet this deadline, he faces “liquidation damages” for violation.	
☐	19.	Contractor	Guarantee of work by Contractor begins. Contractor addresses all Punch List items.	Contractor records Punch List items’ completion in PRZM.
☐	20.	Contractor	Notifies A/E that Punch List items are ready for inspection.	
☐	21.	A/E	A/E schedules walk-thru of project with appropriate team members for final inspection.	
☐	22.	A/E & CCU	Accept (or reject) work as in full compliance with the Contractor’s contract. This involves a field-verification of the completion of all Punch List items.	
	23.	Contractor	If the work is not in full compliance, the Contractor must remedy any defects. A later, additional inspection occurs, as in step 18 above.	
☐	24.	PM	Reduces Contractor’s Retainage amount to zero.	PM marks the Contractor’s Pay Application Information document with a zero Retainage amount.
☐	25.	PM	Notifies Contractor to submit Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	
☐	26.	Contractor	Contractor ensures that all payments have been made to Subcontractors / Vendors / Suppliers.	Contractor zeros out all payments to Subcontractors / Vendors / Suppliers in their respective SVS Documents.
☐	27.	Contractor	Completes Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Completes Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	28.	A/E	Approves Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Approves Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	29.	PM	Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Approves Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	30.	CCU	Approves Final Pay Application, the Contractor’s Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	
☐	31.	Business Manager	Completes Final Payment Application	Approves Final Payment Application

*Abbreviations Used:
A/E = Architect Engineer
CCU = Campus Construction Unit
CM = Construction Manager
PM = Project Manager

The Retainage Reduction Affidavit



The Contractor uses this form to apply for a reduction in retainage (RR). This may only be done when the construction work for the contract is at least 90% complete and the work completed by the contractor is in accordance with provisions of the contract.

The reduction in retainage must be approved by the Architect/Engineer and the Project Manager. In addition, if the contractor is not the Contractor with Assigned Subcontractor, the reduction must also be approved by the Contractor with Assigned Subcontractor.

Instructions for the Contractor:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **Create**, click **Retain Redu Affidavit**.

   A new Contractor's Affidavit for Reduction in Retainage document opens in Edit mode.
3. Enter the county in which the contractor's business resides.
4. In section 1, select the division of work for the contract (general, electrical, etc.).

   The document refreshes, to display further information about the division of work.
5. In section 6, enter the requested amount of the new retainage, spelled out in words (e.g., "Three thousand dollars").
6. In the next field, enter the same amount as a numeric value (e.g., $3000.00).
7. In the next field, enter the percentage of the total contract value of the requested new retainage amount.

8. In the **Ready for Approval** field, click in the ***Yes*** radio button when you are ready to submit the document for approval.
9. When complete, click the **Save Affidavit for Reduction in Retainage** button.

Retainage Reduction Approvals

Instructions for the Contractor with Assigned Subcontractors (if necessary):

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.
2. Under **View/Edit**, click **Retain Redu Affidavit**.
3. Navigate to the appropriate document and click to open it.
4. Review the information presented in the affidavit.
5. Click the **Edit** button.
6. Choose the ***Yes*** button under **Contractor with Assigned Subcontractors Approval** if you approve the affidavit.
   Choose the ***No*** button if you do not.
7. Enter today's date in the field next to the Yes/No buttons.
8. When complete, click the **Save Document** button.

Instructions for the Architect/Engineer:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.
2. Under **View/Edit**, click **Retain Redu Affidavit**.
3. Navigate to the appropriate document and click to open it.
4. Review the information presented in the affidavit.
5. Click the **Edit** button.
6. Choose the ***Yes*** button under **Architect/Engineer Approval** if you approve the affidavit.
   Choose the ***No*** button if you do not.
7. Enter today's date in the field next to the radio buttons.
8. When complete, click the **Save Document** button.

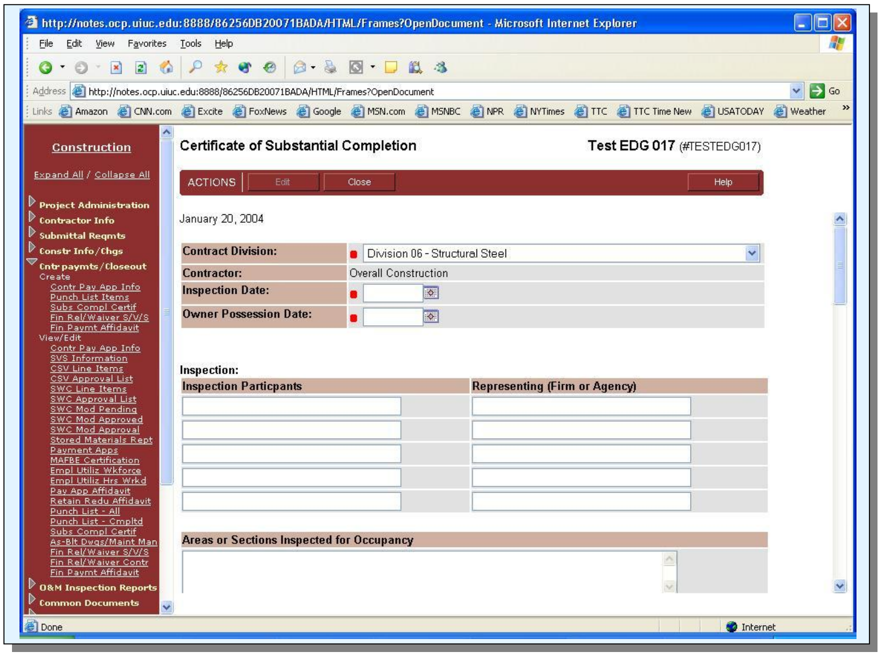
Instructions for the Project Manager:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.
2. Under **View/Edit**, click **Retain Redu Affidavit**.

3. Navigate to the appropriate document and click to open it.
4. Review the information presented in the affidavit.
5. Click the **Edit** button.
6. Choose the ***Yes*** button under **CCU Approval** if you approve the affidavit.
   Choose the ***No*** button if you do not.
7. Enter today's date in the field next to the radio buttons.
8. When complete, click the **Save Document** button.

Completing the Certificate of Substantial Completion



The Certificate of Substantial Completion is an important document for the Contractor and the Project Manager because it establishes the date that the University assumes responsibility for the project from the Contractor. That takeover includes responsibility for such things as utility costs, security, and other normal operations of the project. "Substantial Completion" is defined as the use of the space for the purpose originally intended.

The Architect/Engineer authors the Certificate of Substantial Completion. Other individuals approve this document.

Instructions for the Architect/Engineer:

1. In the Construction navigator, click on the twistie next to **Cntr Paymts/Closeout**.
2. Under **Create**, click on **Subs Compl Certif**.
3. In the **Contractor** field, drop down the list and select the appropriate Contractor.

   The Contract Division field is automatically ported in based on the Contractor selection.
4. In the **Inspection Date** and **Owner Possession Date** fields, enter the appropriate dates.
5. In the *Inspection* section, name the **Inspection Participants** who participated in the punch list walk through and their **Representing (Firm or Agency)**.

6. In the **Areas or Sections Inspected for Occupancy** field, describe the areas inspected.
7. Scroll down the document and under the *Guarantees* section, list the items that have unusual guarantees on elements of construction that differ from the normal 365-day warranty. Designate the **Items** by name, **Specification Section**, the **Date of Commencement** on the guarantee, and the **Duration** of the guarantee.

   ▸ **Note:** The date of expiration calculates automatically from the date of commencement and the duration. Click the **Refresh** button to calculate the expiration dates.
8. Attach any files or drawings to this form that support the Certificate of Substantial Completion by entering the location of the file in the **Attach file here** field provided. You may also use the **Browse…** button to locate the file.

   Your attachments will be saved as part of the document.
9. Fill in the **Reminders** and **Notification of Changes** sections as needed.
10. When complete, click the **Save Certificate of Substantial Completion** button to save your work.

Approvals

The following individuals must approve this document:

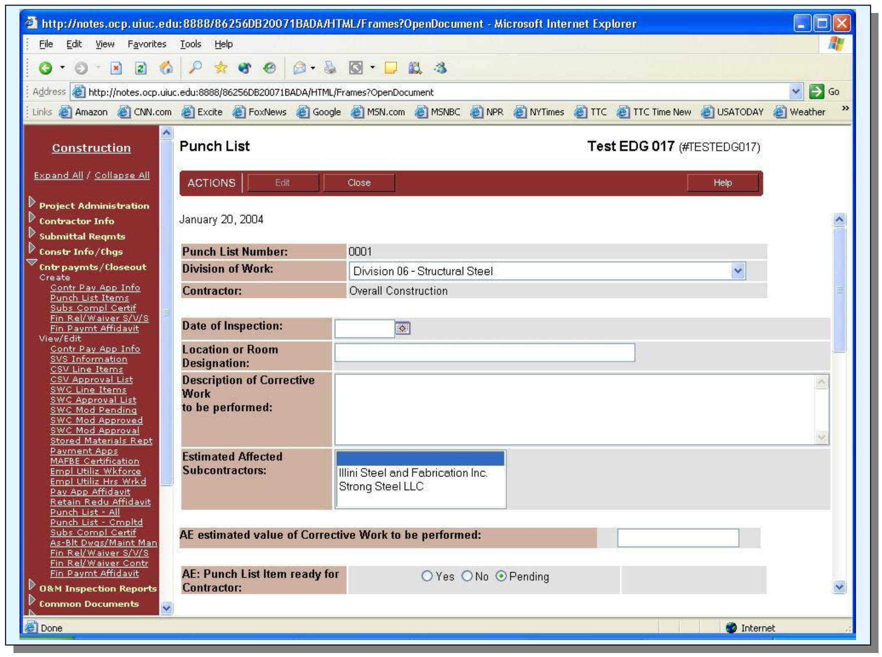
- the construction manager (if applicable)
- the assigned subcontractor (as applicable)
- the Contractor with Assigned Subcontractors (as applicable)
- the Architect/Engineer
- the Project Manager

Each of these individuals must indicate whether they agree or disagree with the Certificate by giving a Yes or No approval response on the document.

Instructions for the Approvers:

1. In the Construction navigator, click on the twistie next **Cntr Paymts/Closeout**.
2. Under View/Edit, click **Subs Compl Certif**.
3. Scroll down the document to the **Approval** section near the bottom of the document.
4. Click the radio button for ***Yes*** or ***No*** as desired.
5. Fill in the **Reminders** and **Notification of Changes** sections as needed.
6. When complete, click the **Save Certificate of Substantial Completion** button to save your work.

Creating and Viewing Punch List Items



The Punch List and the Certificate of Substantial Completion constitute the formal acceptance of the work that the contractor has done on the project. After conducting a walk-through of the project, the Architect/Engineer fills out a Punch List to record corrective work that needs to be performed by the contractor. The contractor then uses the punch list to indicate agreement and to show completion. Finally, the Architect/Engineer returns to the form to indicate acceptance of the work.

To Create a Punch List Item:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.

2. Under **Create**, click **Punch List Items**.

   A new Punch List item opens, in Edit mode.

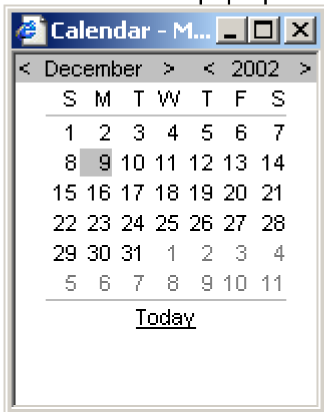
3. In the **Division of Work** field, select the appropriate division.

   The form refreshes to display the related contractor.

4. In the **Date of Inspection** field, enter the date that the area being declared substantially complete was inspected.

   —Or—

Click on the date pop-up icon and select the date from the calendar provided.



5. In the **Location or Room Designation** field, describe the location where the corrective action is to take place.

6. In the **Description of Corrective Work to be performed** field, describe the corrective action you want the contractor to take.

7. In the **Estimated Affected Subcontractors** field, if subcontractors will be affected select them from those listed.

   The form refreshes to display the Spec Sections related to the selected contractor(s).

   i. In the **CSI Division of Work** field, select the affected CSI Division of Work.

8. In the **Value of Corrective Work to be** Performed field, estimate the dollar value of the corrective work.

9. In the **AE: Punch List Item ready for Contractor** field, select the appropriate radio button:

   - **Yes**
   - **No** (to be completed by the Architect/Engineer at a later date)
   - **Pending** (to be completed by the Architect/Engineer at a later date)

10. In the **Current Comments** field, record any comments on this particular punch list item.

11. When complete, click the **Save Punch List** button to save your work.

    —Or—

    To save the current punch list item and create another, click the **Save Punch List Item and Create Another** button.

    Note: Until you set the Punch List Item Ready for the Contractor radio button to Yes, it will not be routed to the Contractor.

To Respond to a Punch List Item:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.

2. Under **View/Edit**, click **Punch List Items - All**.

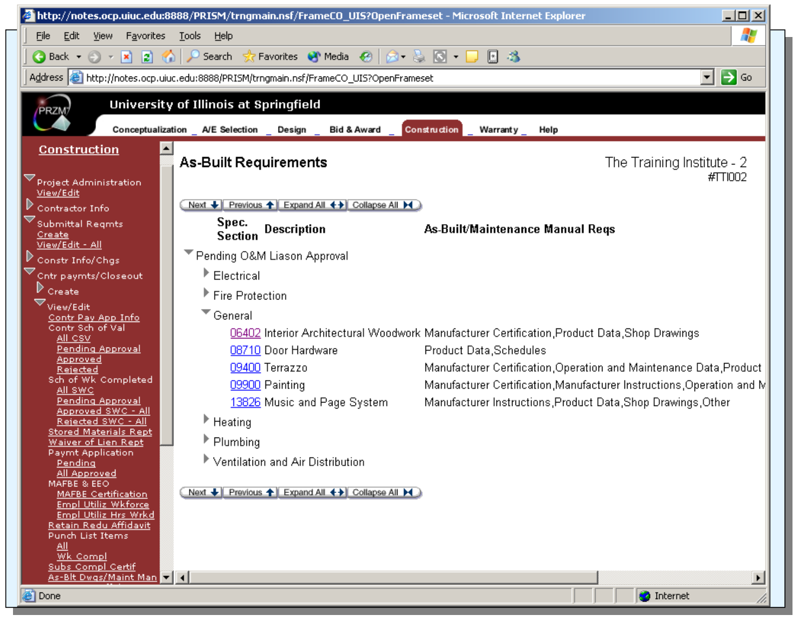
3. Navigate to the appropriate document and click to open it.
4. Click the **Edit** button.
5. Scroll down to the section entitled **Contractor: Agrees with Corrective Work**. Answer *Yes* or *No* and provide the date.
6. In the **Corrective Work Complete?** field, answer *Yes* or *No* and provide the date.
7. In the **Comments** field, record any comments on this particular punch list item.
8. When complete, click the **Save Punch List** button to save your work.

To Respond to the Contractor's Response to a Punch List Item:

1. In the Construction navigator, click on the twistie next to **Cntr paymts/Closeout**.

   The Create and View/Edit options appear.
2. Under **View/Edit**, click **Punch List Items - All**.
3. Navigate to the appropriate document and click to open it.
4. Click the **Edit** button.
5. Scroll down to the section entitled **Corrective Work Complete and Accepted?** Answer *Yes* or *No* and provide the date.
6. In the **Comments** field, record any comments on this particular punch list item.
7. When complete, click the **Save Punch List** button to save your work.

The Construction Completion Documents



As-Built/Maintenance Manual Requirements

As part of the completion of the 95% Construction Documents sub-phase (of the Design Phase), the Architect/Engineer prepared the requirements for each division of work on the As-Built Drawings and Maintenance Manuals. That information is copied to the Construction Phase and made available to each Contractor for further action.

In order to close a construction contract, each Contractor must deliver the required maintenance manuals and as-built drawings to the owner. The submission of these documents is tracked through the **As-Built Drawings/Maintenance Manuals** feature, located under the View/Edit section of *Contractor Payments/Close-out*.

Tracking the As-Built Drawings and Maintenance Manuals:

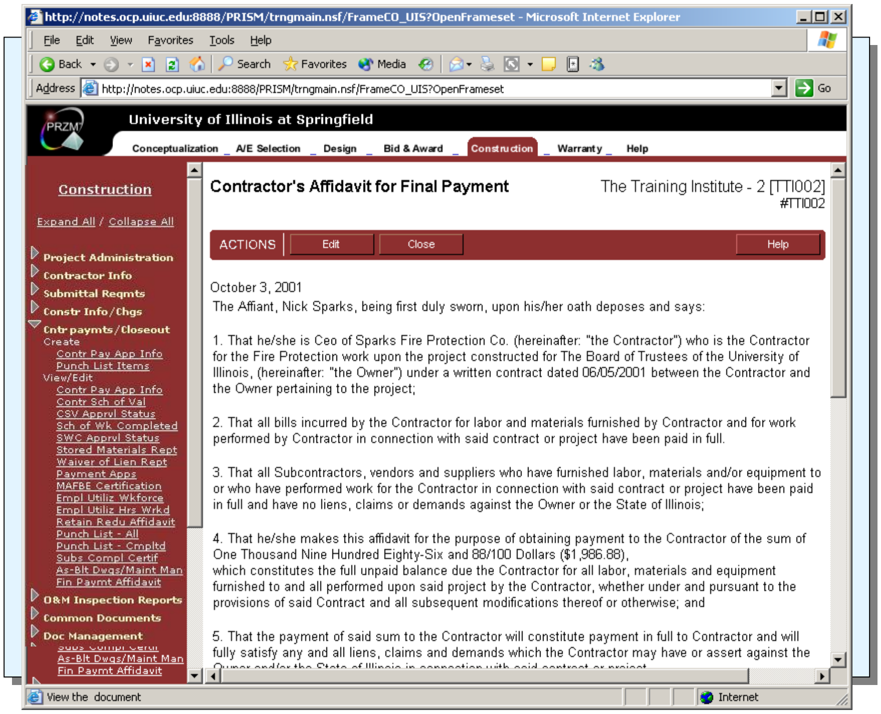
1. In the Construction navigator, click on the twistie next **Cntr Paymts/Closeout**.
2. Under View/Edit, click **As-Blt Dwgs/Maint Man**.

   Each division of work and the requirements associated with the As-Built Drawings/Maintenance Manuals appears in the main PRZM window.
3. Expand the appropriate division of work.
4. Select the appropriate document to view.

   ▸ **Note:** Each Contractor will navigate to its As-Built Drawings/Maintenance Manuals requirements by selecting the *Specifications* section associated with each requirement in the main view. Selecting that specification section displays a form with detailed information and date fields required by the Contractors as they submit documents to the Architect/Engineer for review.

5. Click the **Edit** button.
6. Review the information submitted.
7. In the **Architect's Review Information** section, approve or reject the submission, as appropriate, by selecting *Approved*, *Rejected* or *Pending*.
8. Upon the completion of all submissions by a specific division of work, forward the submission to the Campus Construction Unit by selecting *Yes* in the **Send from A/E to Campus Construction Unit (if approved)** field.
9. Click the **Save As-Built Drawings/Maintenance** button to save your work.

The Final Payment Affidavit



Final Payment Affidavit

This form is a boilerplate document that ports in information about the contractor and is the last in a series of "close out" documents. This form is typically submitted along with the contractor's final waiver of lien.

Submitting this affidavit does **not** generate the payment process. The contractor still has to go back to the last Schedule of Work Completed and close it out to zero.

▸ **Note:** This document is typically created by the Contractor, but if a Construction Manager is used in the project, the Construction Manager creates the document.

Instructions for the Contractor:

1. Enter the contract date.
2. In question 4, enter a text description of the dollar value that you are due (for example, "Six thousand") and the numerical value (for example, $6000.00).
3. When done, click the **Save Final Payment Affidavit** button to save your work.

A print friendly version is available once the document has been approved. The Contractor must print this version for final submission.

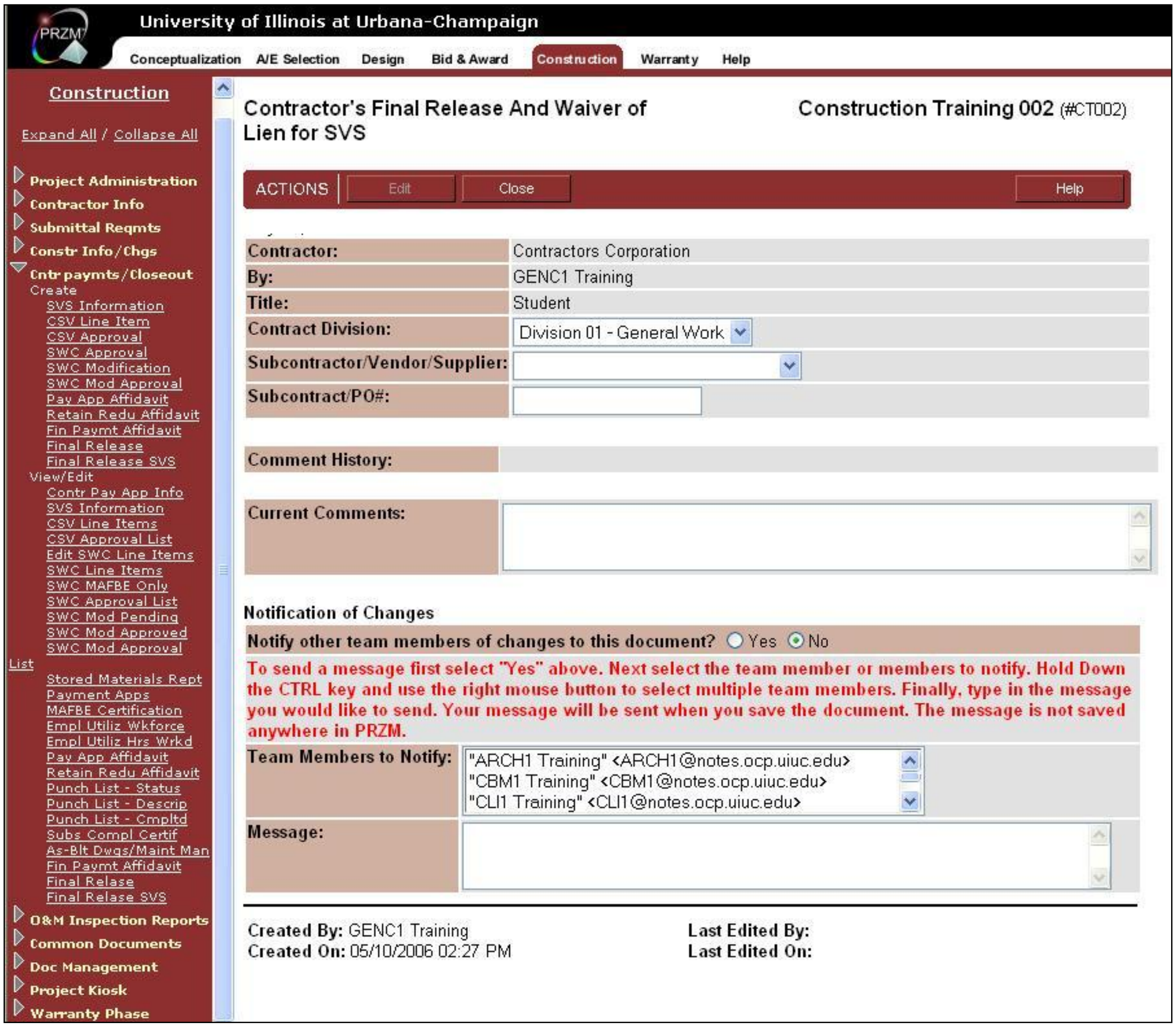
Instructions for the Approvers (Contractor with Assigned Subcontractors; Architect/Engineer; CCU):

This document is approved by a contractor with assigned subcontractors (if the author is a subcontractor), the Architect/Engineer, and the CCU rep.

1. Review the information presented in the affidavit.
2. Choose the **Yes** radio button if you approve of the affidavit.
   Choose the **No** radio button if you do not.
3. Enter today's date in the field next to the buttons.
4. When done, click the **Save Final Payment Affidavit** button to save your work.

   ▸ **Note:** If you approve the Final Payment Affidavit, saving the document will queue it up for the next approver.

Contractor's Final Release and Waiver for SVS



To Complete the Contractor's Final Release and Waiver for SVS:

1. In the Construction navigator, click on the twistie next **Cntr Paymts/Closeout**.
2. Under Create, click **Final Release SVS**.
3. In the Contract Division field, using the drop-down menu, select the Division of Work.
4. The form refreshes and reveals the Subcontractor/Vendor/Supplier field.
5. In the Subcontractor/Vendor/Supplier field, using the drop-down menu, select the appropriate Subcontractor/Vendor/Supplier.
6. In the **Subcontract/PO#:** field, enter the Subcontract/PO number.

7. When done, click the **Save Contractor's Release and Final Waiver of Lien for SVS** button to save your work.

   The Final Release for SVS view appears.

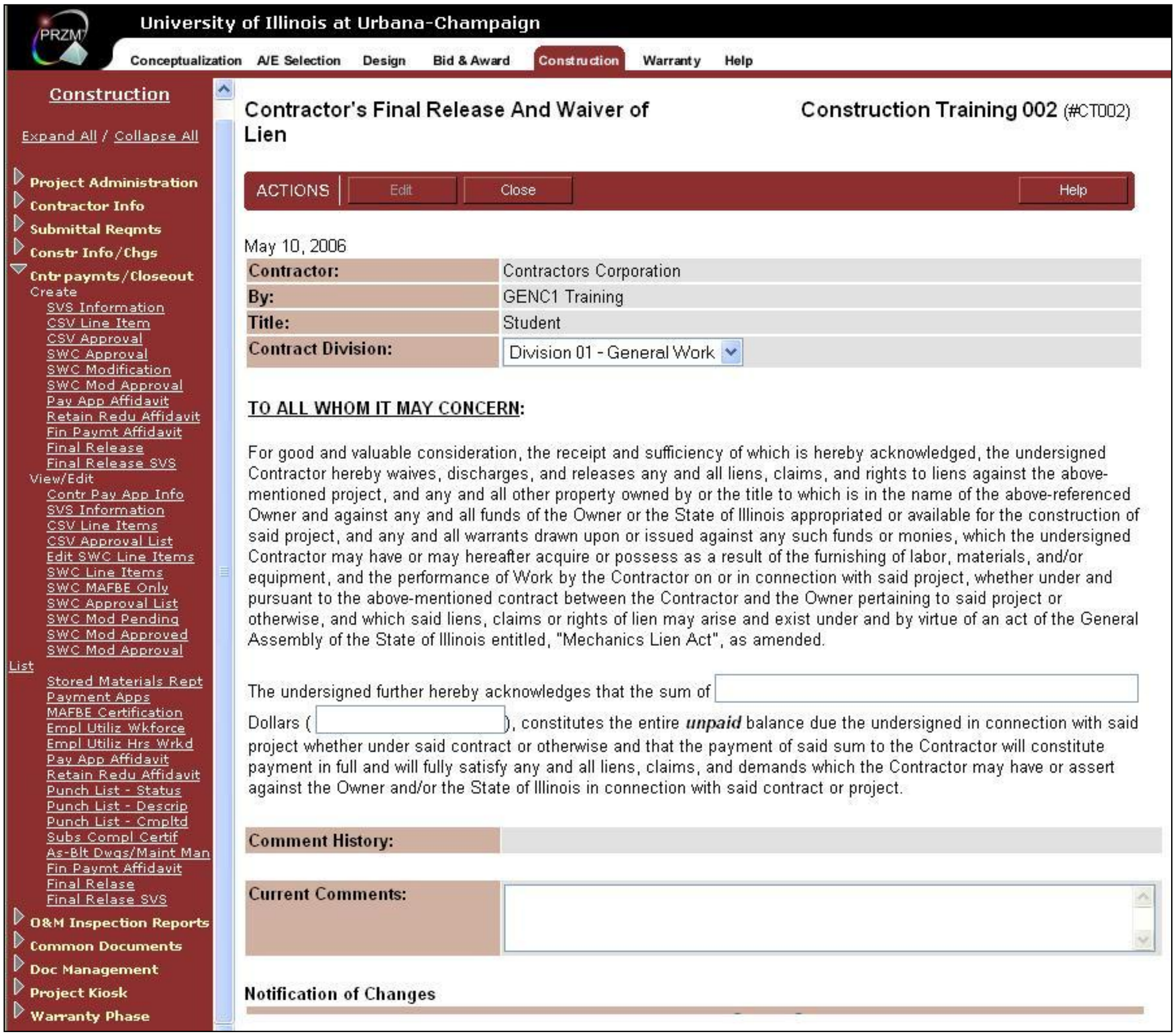
8. Click the link to the Division of Work.

9. Scroll down and click the **View Print Friendly Page** button.

   The print-friendly version of the document appears.

10. Right click on the document and select Print to print the document for signatures.

The Contractor's Final Release And Waiver of Lien



To Complete the Contractor's Final Release and Waiver of Lien:

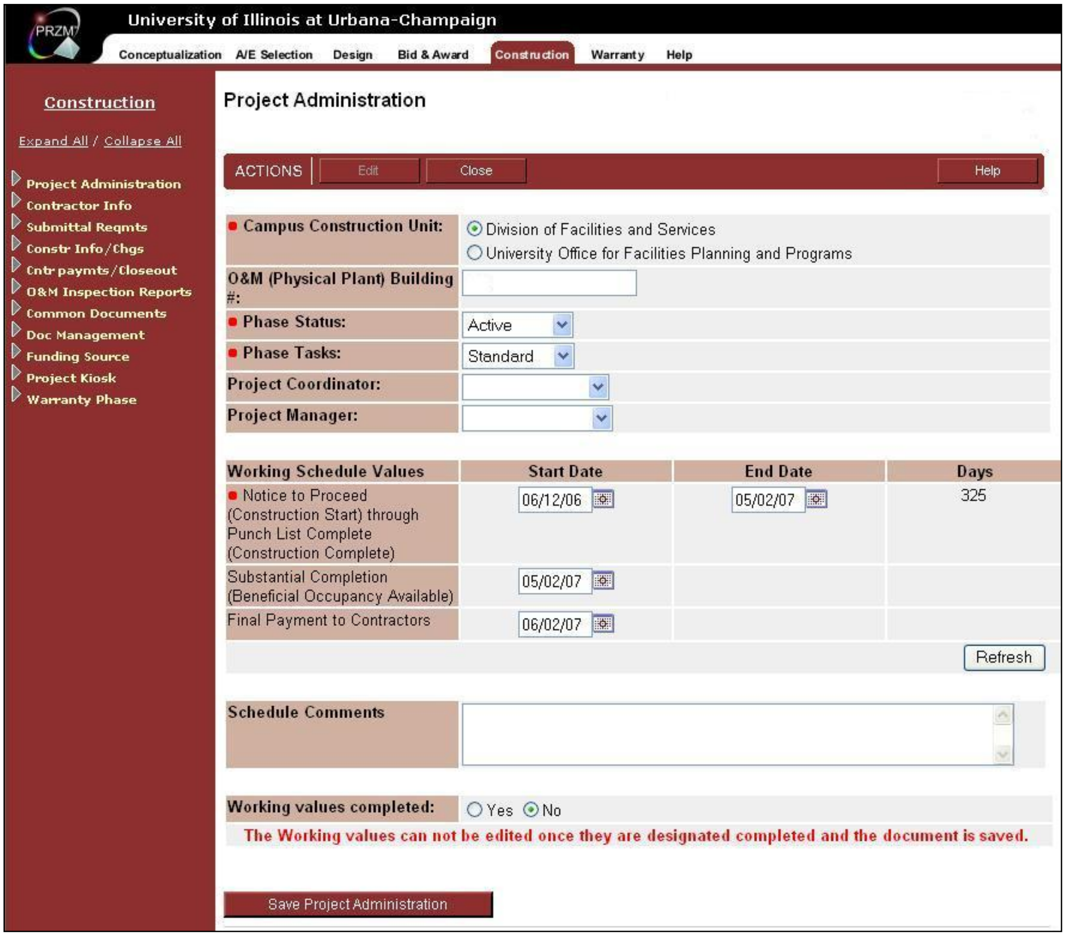
1. In the Construction navigator, click on the twistie next **Cntr Paymts/Closeout**.
2. Under Create, click **Final Release**.
3. In the field after "…the sum of", enter enter a text description of the dollar value that you are due (for example, "Six thousand").
4. In the field after "Dollars", enter the numerical value (for example, $6000.00) still outstanding.
5. When done, click the **Save Contractor's Release and Final Waiver of Lien** button to save your work.

   The Final Release view appears.

6. Click the link to the Division of Work.
7. Scroll down and click the **View Print Friendly Page** button.

   The print-friendly version of the document appears.
8. Right click on the document and select Print to print the document for signatures.

Updating the Phase



In order to move to the next phase of the project, Warranty, the Project Manager must perform the following tasks:

- Adjust the Project Budget
- Modify the Project Schedule, using the Project Administration document
- Approve Professional Services Changes required by adjustments made in the phase
- Approve Professional Services Payment Requests
- Ensure that all As-Built Drawings and Maintenance Manuals have been deposited
- Ensure that all Punch List Items have been repaired or otherwise resolved
- Approve the Certificates of Substantial Completion
- Ensure that all payments have been made to Subcontractors / Vendors / Suppliers
- Approve the Contractors' Final Payment Affidavits

When the Project Manager has updated the phase, he then creates the next phase database which imports information and related documents from this phase.

Updating and Closing the Phase:

1. In the navigator, click on the word **Construction**.

   The Home view appears.

2. Click on the link to the **Project Administration** document.
3. Click the **Edit** button.
4. Modify the Schedule dates, as applicable.
5. When you have completed your work, in the **Working Values Completed** field, click in the **Yes** radio button.
6. Save the Project Administration document.

Creating the Warranty Phase:

➢NOTE: In order to create the Warranty Phase, at least one Certificate of Substantial Completion must be present in the Construction phase.

1. In the Construction navigator, click on the twistie next to **Warranty Phase**.

   The View/Edit option appears.

2. Click on **View/Edit**.

   The "Continue to Warranty Phase" document appears.

3. Review all listed documents.
4. When all documents are marked as *Completed* or *Not Applicable*, click the **Continue to Warranty Phase** button.

   The present phase of the project will close and the database for the next phase is built.

Review

1. What documents does a Contractor need to fill out in order to get paid?
2. What documents is the Project Manager responsible for creating during Construction?
3. When does the Architect/Engineer create documents during Construction?

Notes